



U. S. Department of Housing and Urban Development
Washington, D.C. 20410

Office of Lead Hazard Control

APPLICATION KIT

HEALTHY HOMES INITIATIVE

OMB CONTROL NO.: (pending)

Dear Applicant:

Thank you for requesting an application package for grants for the "Healthy Homes Initiative" from the Department of Housing and Urban Development. The Department intends to award grants to support demonstration projects to address housing related hazards that threaten the health and safety of children.

Approximately \$3.5 million in Healthy Homes Initiative grant funding will be available to fund selected projects. It is expected that approximately 3-5 grants of approximately \$250,000 to \$2,500,000 million each will be awarded to selected applicants.

Section 2 of this application kit contains detailed instructions for each component of the application submission. The necessary application forms and instructions are included in Annex 2 and the "Forms section" of this document. In particular, complete the Checklist in Annex 2 to ensure that you have met all the requirements for a complete application.

Before you begin preparing your application, please read the entire application kit and NOFA to become knowledgeable about the process and to ensure that your proposed demonstration project meets the program objectives and is eligible for assistance. The NOFA also indicates the application due date and provides additional delivery instructions. This application kit is complete in itself and includes detailed instructions for each component of the application submission, including the necessary forms. Please follow the instructions to ensure you meet all the requirements for a complete application. The application kit, additional resource documents, necessary forms, and answers to frequently asked questions are also available on the Office of Lead Hazard Control's home page at: www.hud.gov/lea.

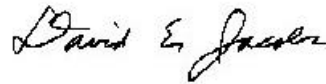
In accordance with the Reform Act of 1989, HUD cannot provide any information on the relative standing of any application during the selection process. However, prior to submission, you may ask questions about the NOFA or application kit. Questions should be directed to Ms. Ellen Taylor at (202)

755-1785, ext. 116, or to the Grants Officer, Mrs. Karen Williams, at ext. 118. This is not a toll-free number.

Applicants are advised that proposals submitted in response to this NOFA are subject to disclosure under the Freedom of Information Act (FOIA).

Thank you for your interest in program support from HUD's Office of Lead Hazard Control.

Sincerely,

A handwritten signature in cursive script that reads "David E. Jacobs".

David E. Jacobs, PhD
Director

Healthy Homes Initiative

APPLICATION KIT

1999

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SECTION 1

GENERAL INSTRUCTIONS AND GUIDELINES FOR APPLICANTS

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SECTION 1. GENERAL INSTRUCTIONS AND GUIDELINES FOR APPLICANTS

The Notice of Funding Availability (NOFA) can be found at the back of this application package and should be read before preparing the application.

1.1 Background and General Instructions for Submitting Applications

A) Purpose

The purpose of the Healthy Homes Initiative is to demonstrate cost effective, preventive measures to correct multiple safety and health hazards in the home environment that produce serious diseases and injuries in children.

B) Objectives

1) Developing a cost-effective protocol for identifying homes that are candidates for interventions, identifying hazards in these homes, and screening out homes where structural or other condition factors (e.g., cost, accessibility) make interventions infeasible or impractical.

2) Developing a flexible set of intervention strategies that take into account the range of conditions likely to be encountered in older housing, and the need to maximize the number of housing units that receive an intervention.

3) Developing an efficient strategy for evaluating the effectiveness of interventions in preventing disease and injury in children.

4) Building local capacity to develop a sustainable program that will continue to prevent and, where they occur, minimize and control housing-based hazards in low and very-low income residences when HUD funding is exhausted.

5) Affirmatively furthering fair housing and environmental justice.

6) Mobilizing public and private resources, involving cooperation among all levels of government, the private sector, and community-based organizations to develop the most promising, cost-effective methods for identifying and controlling housing-based hazards.

7) Integrating safe work practices into housing maintenance, repair, and improvements.

8) To the greatest extent feasible, promoting job training, employment, and other economic opportunities for low-income and minority residents and businesses which are owned by and/or employ low-income and minority residents as defined in 24 CFR 135.5.

C) Legislative Authority: This program is authorized by the Fiscal Year 1999 Appropriations Act.

D) Eligible Applicants: Research institutions, not-for-profit institutions, and for-profit firms located in the U.S., State and local governments, and Federally-recognized Indian Tribes. For-profit firms are not allowed to include a fee in the cost proposal (i.e., no profit can be made from the project). Federal agencies and federal employees are not eligible to participate in this program.

E) Eligible Activities: You will be afforded considerable latitude in designing and implementing the interventions to prevent or correct safety and health hazards in the home environment capable of producing serious diseases and injuries in children. However, in developing a strategy, you should use all reasonably available sources of information on controlling housing-based hazards in buildings and protecting workers and occupants during and after the intervention process. HUD is interested in promoting housing intervention approaches that result in the reduction of health threats for the maximum number of residents, and in particular low-income children, and that demonstrate replicable techniques which are cost-effective and efficient:

The following direct activities and support activities are eligible under this grant program.

1) Direct Activities

(1) Direct Project Elements (activities conducted by you and any sub-recipients):

(a) Performing evaluations of eligible housing to determine the presence of housing-based hazards (e.g., mold growth, unvented appliances, exposed steam pipes or radiators, damaged lead-based paint) through the use of generally accepted testing procedures.

(b) Conducting medical examinations of young children for conditions caused or exacerbated by exposure to hazards where this is considered essential to your project, and there are no alternative sources to cover these costs.

(c) Conducting housing interventions to remediate existing housing-based hazards and address conditions that could result in their recurrence. Any lead hazard evaluation and control work shall be conducted by certified performers in accordance with the HUD Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing ("Guidelines") and other applicable regulations.

(d) Carrying out temporary relocation of families and individuals during the period in which intervention is conducted and until the time the affected unit receives clearance for reoccupancy. Residents so relocated should be guaranteed the choice of returning to the unit after the intervention.

(e) Performing medical testing recommended by a physician or applicable occupational or public health agency for individuals in hazardous conditions and environmental sampling to protect the health of the intervention workers, supervisors, and contractors.

(f) Undertaking housing rehabilitation activities that are specifically required to carry out effective control of housing-based hazards, and without which the intervention could not be completed and maintained. Grant funds under this program may also be used to control immediate lead-based paint hazards.

(g) Conducting clearance testing and analysis for lead, mold, carbon monoxide and/or other toxins as appropriate, with respect to generally accepted standards or criteria, or where not available, other appropriate levels justified in conjunction with the project.

(h) Carrying out architectural, engineering and work specification development and other construction management services necessary to, and in direct support of, activities to control housing-based hazards and remediate existing hazards.

(i) Providing training on safe maintenance practices to homeowners, renters, painters, remodelers, and housing maintenance staff working in low- or very-low income housing.

(j) Providing cleaning supplies for hazard intervention and hazard control to community/neighborhood-based organizations for use by homeowners and tenants in low income housing, or to such homeowners, and tenants directly.

(k) Conducting general or targeted community awareness or education programs on environmental health and safety hazards. This activity would include training on safe maintenance and renovation practices, among other topics, and further fair housing and environmental justice goals. It would also include making materials available, upon request, in alternative formats for persons with disabilities (e.g., Braille, audio, large type), and in languages other than English that are common in the community, whenever possible.

(l) Securing liability insurance for hazard intervention and hazard evaluation and control activities to be performed.

(m) Supporting data collection, analysis, and evaluation of project activities. This activity is separate from administrative costs.

(n) Conducting applied research activities directed at demonstration of cost-effective evaluation and intervention methods for preventing housing-based hazards.

(o) Presenting research findings at a scientific conference in each project year following the first year of activity.

(p) Maintaining a registry (updated at least monthly) of housing units in which housing-based hazards were not found during evaluation, and those in which such problems and hazards have been controlled. Units on the registry should be affirmatively marketed to families with young children and such families should be given preference for occupancy when they are vacant.

(q) Preparing quarterly progress reports, interim and final research reports, and an overall final grant report detailing activities, findings, conclusions and recommendations, at the conclusion of grant activities.

2) Support Activities

a) Your administrative costs (Administrative costs can not exceed 10% of the total budget. See Annex 1 for a definition of administrative costs).

b) Program planning and management costs of sub-grantees and other sub-recipients.

F) Ineligible Activities

Program funds shall not be used for:

1) Purchase of real property.

2) Purchase or lease of equipment having a per unit cost in excess of \$5,000, unless prior written approval is obtained from HUD.

3) Medical treatment costs for children with illness associated with exposure to residential environmental hazards or for children with elevated blood lead levels, except as part of research activities conducted as part of the demonstration project.

G) Allocation Amounts: Approximately \$3.5 million will be available to fund demonstration projects in FY 1999. Grants will be awarded on a competitive basis following evaluation of all proposals according to the Rating Factors described in section 2.4 of this document. HUD anticipates

that approximately 3 to 5 grants will be awarded, ranging from approximately \$250,000 to approximately \$2,500,000.

H) Completion of Work: Applicants must complete project activities in 36 months.

I) Application Deadline and Submittal. Submit an original and four copies of your completed application on or before **September 23, 1999**. Applications must be submitted complete, and on-time as required in the NOFA. Applications received after the deadline will be ineligible for consideration.

Submit an original and four copies of your application package to:

U.S. Department of Housing and Urban Development
Office of Lead Hazard Control, Room P3206
451 7th Street, SW
Washington, D.C. 20410

Applications which are hand carried should be delivered during business hours to HUD Office of Lead Hazard Control, Suite 3206, 490 L'Enfant Plaza, SW, Washington, DC 20024.

J) Final Assembly of an Application Package: Annex 2 and the "Forms section" of this document provide all of the forms, certifications, and accompanying instructions necessary to apply for an award. The applicant should assemble the application package in the order shown in the Checklist provided in Annex 2, number each page sequentially, and denote the appropriate page number on the Checklist sheet that should be included with the submission.

K) Correction of Minor Technical Deficiencies. HUD will notify an applicant, in writing by FAX and mail, of any minor technical deficiencies in the application. These include items that do not affect scoring, such as a missing certification or a missing signature. Corrections submitted by the applicant must be received at the HUD Office of Lead Hazard Control within 14 calendar days from the date of HUD's letter notifying the applicant of any technical deficiencies. Failure to respond to the technical deficiencies within the allotted 14 days will result in the application not being considered for funding.

Applicants will only be permitted to correct minor technical deficiencies, as identified by HUD. Deficiencies determined by HUD to be substantive (i.e., deficiencies that could affect an application's score) may not be corrected.

L) Late Applications, Modifications of Applications, and Withdrawals of Applications

- 1) Any application received at the office designated in the solicitation after the exact date and time specified for receipt will not be considered.
- 2) Hand-delivered applications must be received in the designated office by the application deadline date and time (documentation is the notation on the application wrapper of the time and date received by the designated office).
- 3) Facsimiles and electronically transmitted applications are not authorized and are not acceptable.
- 4) Any modification or correction of an application is subject to the same conditions as paragraphs (1), (2), and (3) of this provision.
- 5) Applications may be withdrawn by written notice, facsimile or telegram (including mailgram) received at any time prior to award. Applications may be withdrawn in person by an applicant or their authorized representative, provided their identity is made known and they sign a receipt for the application prior to award.

M) Further Information. If you have any questions regarding your application or any related matters, you may contact Ms. Ellen R. Taylor at (202) 755-1785, ext. 116 or Mrs. Karen Williams, the Grants Officer, at ext. 118. (This is not a toll-free number).

1.2 Guidance on Requirements Issues

A) Section 102 of the HUD Reform Act Documentation and Public Access Requirements Applicant/Recipient Disclosures

Background and Requirement

Background

Applications submitted in response to this NOFA are subject to disclosure under the Freedom of Information Act (FOIA) (5 U.S.C. 552 and HUD regulations at 24 CFR part 15). Application materials, including any letters of support, will be made available for public inspection for a five-year period beginning not less than 30 days after the announcement of the awards.

In addition, HUD will publish in the Federal Register a notice listing all the recipients of HUD assistance awarded on a competitive basis under this NOFA.

HUD will make available to the public for five years all applicant disclosure reports (HUD Form 2880) submitted in connection with this NOFA.

To assist HUD in determining whether or not to release information contained in an application in the event a FOIA request is received, applicants may identify or otherwise indicate those portions of their applications which they believe should not be disclosed. While an applicant's advice will be considered by HUD in its determination whether to release requested information or not, HUD is required by the FOIA to make an independent evaluation of that information, regardless of the applicant's views. If the applicant believes that confidential treatment is appropriate, the basis for this view should be provided where possible, because general assertions or blanket requests for confidentiality are not particularly helpful to HUD in making determinations concerning release of information under the Act.

It should also be noted that HUD is required to segregate disclosable information from non-disclosable items, so particular care should be taken in the identification of each portion for which confidential treatment is requested. Applicant views concerning confidentiality will be used solely to aid HUD in preparing its response FOIA requests. Please note that the presence or absence of such comments or earmarking regarding confidential information will have no bearing whatsoever on the evaluation of your application submitted under this solicitation, nor will the absence of this earmarking automatically result in greater disclosure.

How should you respond to this requirement?
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Evaluate the proposal to determine if it contains any material that should be treated as confidential.

B) Prohibition Against Lobbying Activities**Background and Requirement****Background**

Applicants for funding under this NOFA are subject to the provisions of Section 319 of the Department of Interior and Related Agencies Appropriations Act for FY 1991 (31 U.S.C. 1352, the Byrd Amendment) and the lobbying Disclosure Act of 1995 (P.L 104-65). The Byrd amendment, which is implemented in regulations at 24 CFR 87, prohibits applicants for and recipients and subrecipients of Federal contracts, grants, loans, cooperative agreements, and loan insurance or guarantees from using appropriated funds to attempt to influence Federal Executive or Legislative officers or employees in connection with obtaining such assistance, or with its extension, continuation, renewal, amendment or modification.

In addition, applicants for and recipients and sub-recipients of Federal contracts, grants, loan, cooperative agreements, and loan insurance or guarantees above certain monetary amounts must file either a certification stating that they have not made and will not make any prohibited payments or a statement disclosing any prohibited payments or agreements to make such payments.

Requirement

The Lobbying Disclosure Act, which repealed Section 112 of the HUD Reform Act and resulted in the elimination of the regulation at 24 CFR Part 86, requires all persons and entities who lobby covered Executive or Legislative Branch officials to register with the Secretary of the Senate and the Clerk of the House of Representatives and file reports concerning their lobbying activities.

How should you respond to this requirement?

If applicable, complete the Disclosure of Lobbying Activities - Form SF-LLL which is included in the application package. If not applicable, please indicate on the Checklist.

C) Drug-Free Workplace Requirements**Background and Requirement**

The applicant must make certifications and agreements to provide a drug-free workplace. If it is later determined that the applicant knowingly rendered a false certification, or otherwise violates the requirements of

the Drug-Free Workplace Act, HUD, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

How should you respond to this requirement?

Enclose with the application submission a completed copy of the Certification for a Drug-Free Workplace form.

D) Debarred and Suspended Applicants Requirement

Background and requirement

HUD shall not award an assistance instrument to any applicant that is debarred, suspended, or otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549. Prior to award, HUD shall check the General Services Administration's Lists of Parties Excluded from Federal Procurement and Nonprocurement Programs. Any applicant found to be on that list shall be ineligible for an award under this NOFA.

How should you respond to this requirement?

Enclose with the application submission a completed copy of the "Certification Regarding Debarment and Suspension" application form.

1.3 Other Issues (No Response Required in Application)

A) Davis Bacon Act

The Davis Bacon Act does not apply to this program. However, if grant funds are used in conjunction with any other Federal program in which prevailing wage rates apply, then Davis-Bacon provisions would apply to the extent required under the other Federal programs.

B) Prohibition Against Advance Information on Funding Decisions

HUD's regulation implementing Section 103 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3537a) (Reform Act), codified at 24 CFR 4, applies to this funding competition. The requirements of the rule continue to apply until the announcement of the selection of successful applicants.

HUD employees involved in the review of applications and in the making of funding decisions are restrained by 24 CFR 4 from providing advance information to any person (other than authorized employees of HUD) concerning funding decisions, or from otherwise giving any applicant an unfair competitive advantage. Persons who apply for assistance in this competition should confine their inquiries to the subject areas permitted under 24 CFR 4.

Applicants or employees who have ethics-related questions should contact the HUD Office of Ethics (202) 708-3815 (this is not a toll-free number). Any HUD employee who has specific program questions, such as whether particular subject matter can be discussed with persons outside the Department, should contact the Headquarters Counsel for the Office of Lead Hazard Control Programs.

C) Procurement Standards

All grantees are governed by and should consult 24 CFR 85.36 and 85.37, which implement OMB Circular AA-102 and detail the procedures for subcontractors and subgrants by States and local governments. Under 24 CFR 85.36, which pertains to subcontractors, small purchase procedures can be used for contracts up to \$100,000, and require price or rate quotations from several sources (three is acceptable); above that threshold, more formal procedures are required (note that 24 CFR 85.36 treats States differently than local governments). The procedures in 24 CFR 85.37 apply to sub-grants, and are not as restrictive. If States have more restrictive standards for contracts and grants, the State standards may apply. All grantees should consult and become familiar with 24 CFR 85.36 and 85.37 before issuing contracts or sub-grants.

D) Federalism Executive Order

The General Counsel, as the Designated Official under Section 8 (a) of Executive Order 12612, Federalism, has determined that the policies and procedures contained in this NOFA will not have substantial direct effects on States or their political subdivisions, or the relationship between the federal government and the States, or the distribution of power and responsibilities among the various levels of government. Under this NOFA, grants or cooperative agreements will be made to support research activities which are anticipated to result in improvements in methods used to assess and mitigate residential environmental hazards. Although the government encourages States and local governments to conduct research in these areas, any such action by a State or local government is voluntary. Because action is not mandatory, the NOFA does not impinge upon the relationships between the Federal Government, and State and local governments, and the notice is not subject to review under the Order.

E) Family Executive Order

The General Counsel, as the Designated Official under Executive Order 12606, The Family, has determined that this document will likely have a beneficial impact on family formation, maintenance and general well-being. The NOFA, insofar as it funds research to improve methods for the evaluation and control of residential environmental hazards, will assist in preserving decent housing stock for low income families. Accordingly, since the impact on the family is beneficial, no further review is necessary.

SECTION 2

APPLICATION SUBMISSION PACKAGE

SECTION 2. APPLICATION SUBMISSION PACKAGE

2.1 Transmittal Letter

Prepare a brief letter applying for the grant and signed by the Chief Executive or authorized official. The transmittal letter should indicate the applicant organization and the amount of the grant requested. Include the name, telephone number, and fax number of the individual to contact for further information pertaining to the application.

2.2 Project Abstract

Prepare a brief **(two page maximum)** abstract describing your proposed Healthy Homes Initiative demonstration project. Include the following items, and be specific and concise:

- the organization(s) which will participate, either conducting the project or in another role;
- demographic, socio-economic and housing characteristics of target areas(s) selected for activities;
- your prior activities, experience and achievements in residential hazard remediation work (or other residential interventions) , including testing and treatment methods, and collaboration with other agencies;
- the scope and magnitude of the proposed project that details the area selected, estimated number of housing units, intended beneficiaries, and the projected impact on the neighborhood/jurisdiction;
- how the work will be accomplished.

2.3 Research Involving Human Subjects

Any project-related research that involves human subjects, the project director must ensure that subjects are protected from research risks in conformance with the Common Rule (*Federal Policy for the Protection of Human Subjects*, 45 CFR §690). All research involving human subjects must either: (1) have approval from the organization's Institutional Review Board (IRB) before issuance of an award (if available, a copy of the IRB approval form must be included with the application as an attachment, or indicate that the proposed research protocol has been submitted to the IRB for review); or (2) identify the applicable subsection exempting the proposal from IRB review, as established in section 101(b) of the Common Rule.

2.4 Application Rating Factors

Applications will be reviewed by a Technical Evaluation Panel which will assign each application a numerical score based on the rating factors

presented below (see also section V(B) of the NOFA. Each factor is weighted as indicated by the number of points that are attainable for it. The maximum score that can be assigned to an application is 102 points. Applicants should be certain that these factors are adequately addressed.

1. Capacity of the Applicant and Relevant Organizational Experience	20	pts.
2. Need/Extent of the Problem	15	pts.
3. Soundness of Approach	45	pts.
4. Leveraging Resources	10	pts.
5. Comprehensiveness and Coordination	10	pts.
*Empowerment Zone and Enterprise Community Bonus Points	2	pts.
TOTAL:		102 pts.

* Two bonus points will be awarded for eligible activities/projects proposed to be located in Federally designated Empowerment Zones (EZ) or Enterprise Communities (EC) that serve the EZ or EC residents. However, the EZ/EC must be determined to be high performing by HUD. HUD will publish a list of high performing EZ/EC in the Federal Register.

If you wish to be considered for these bonus points you should submit the Certification of Consistency with the EZ/EC Strategic Plan (located in the "Forms section" of this document). A list of EZ/ ECs is at HUD's Web site at <http://www.HUD.gov>. Identify whether your proposed activity/project will be located within the boundaries of an EZ or EC. If so, you should have the authorized official sign and date the Certification of Consistency with the EZ/EC Strategic Plan, and include it with your application. If the EZ/EC has been determined to be high performing, you will be awarded two bonus points.

Responses to Rating Factors

Please respond to each of the five rating factors. This NOFA limits the applicant's response to the Rating Factors to **a total of (30) pages. Responses must have clearly numbered pages, a complete table of contents, and be typewritten on one (1) side only on 8½" x 11" paper using a 12 point font with not less than ¾" margins on all sides.**

Appendices for the response to the Rating Factors (not included in the page total) may only consist of supporting or required documents such as tabular scientific data validating rating factor responses, organizational

chart(s), resumes (no more than three pages each), job descriptions, memoranda of agreement/understanding, letters of commitment for participating in the project, supporting documentation from the Analysis of Impediments, other pertinent Fair Housing and Equal Opportunity planning documents and other letters of support.

HUD intends to fund the highest rated applications within the grant resources available.

Factor 1: CAPACITY OF THE APPLICANT AND RELEVANT ORGANIZATIONAL EXPERIENCE (20 points)

This factor addresses your organizational capacity necessary to successfully implement your proposed activities in a timely manner. The rating of you or your staff includes any community-based organizations, sub-contractors, consultants, sub-recipients, and members of consortia that are firmly committed to your project. In rating this factor HUD will consider :

- Your recent, relevant and successful demonstrated experience in undertaking eligible program activities. You must describe the knowledge and experience of the proposed overall project director and day-to-day program manager in planning and managing large and complex interdisciplinary programs, especially those involving housing rehabilitation, public health, or environmental programs. In your narrative response for this factor, you should include information on your program staff, their experience, commitment to the program, and position titles. Resumes of up to three (3) pages each and position descriptions for up to three personnel in addition to the project director and program manager, and a clearly delineated organizational chart for your project must be included as an appendix. Copies of job announcements (including salary range) should be included for any key positions that are currently vacant. Indicate the percentage of time that key personnel will devote to your project and any salary costs to be paid by funds from this program .
- Whether you have sufficient personnel or will be able to quickly retain qualified experts or professionals to begin your proposed program immediately and to perform your proposed activities in a timely and effective fashion. Describe how other principal components of your agency or other organizations will participate in or support your project. You should thoroughly describe capacity, as demonstrated by experience in initiating and implementing related environmental, health, or housing projects. Demonstrate that your organization has the skills, authority and capability to successfully initiate and carry out the proposed program within the required time frames set forth in the NOFA.

Factor 2: NEED/EXTENT OF THE PROBLEM (15 points)

This factor addresses the extent to which there is a need for your proposed program activities to address a documented problem in your target area(s).

(1) Document a critical level of need for your proposed activities in the area where activities will be carried out. You should pay specific attention to documenting need as it applies to your target area(s), rather than the larger geographic area.

(2) Your documentation of need should summarize available data linking housing-based hazards to disease or injuries to children in your target area(s). Examples of supporting data that might be used to demonstrate need, include:

(a) Economic and demographic data relevant to your target area(s), including poverty and unemployment rates;

(b) Rates of childhood illnesses or injuries (e.g., asthma, burns) that could be caused or exacerbated by exposure to conditions in the home environment, among children residing in your target area(s), and/or rates of environmentally-related disease or adverse health effects (e.g., hypertension, elevated blood lead levels) in your target area(s);

(c) Unavailability of other Federal, State or local funding or private sector resources that could be, or is, used to address the problem

For the areas targeted for your project activities, provide data available in your jurisdiction's currently approved Consolidated Plan, or derived from 1990 Census Data, or derived from other sources (all data should be documented):

- The age and condition of housing;
- The number and percentage of very-low and low income families with incomes less than 80% of the median income, as determined by HUD, for the area, with adjustments for smaller and larger families (This information can be obtained from the HUD Policy Development and Research publication 99-2 which can be accessed at: <http://www.huduser.org>).
- The number and proportion of children under six years old.

Describe how any proposed research activities would help HUD achieve its goals for this NOFA.

Factor 3: SOUNDNESS OF APPROACH (45 points)

This factor addresses the quality and cost-effectiveness of your proposed work plan. You should present information on the proposed approach for

controlling housing-based hazards. The response to this factor should include the following elements:

A. INTERVENTION STRATEGY (30 points)

Describe the strategy you will use in planning and executing the housing-based hazard interventions in targeted housing. You should provide information on:

A.1) Strategy for Implementing the Demonstration Project (10 points).

Describe your overall strategy for your proposed demonstration project. The description must include a discussion of:

- Your overall strategy for identifying, selecting, prioritizing, and enrolling units of eligible housing in which you will undertake housing-based hazards interventions, and then targeting such units to the low-income families with young children for the long run. Describe the extent to which your proposed activities will occur in an Empowerment Zone or Enterprise Community (EZ/EC), if applicable.
- The estimated total number of owner occupied and/or rental units in which you will conduct interventions.
- The degree to which your work plan focuses on eligible privately-owned housing units with young children. Describe your planned approach to residential environmental health and safety problems, before children are affected and/or to control these hazards in units where children have already been treated for illnesses and injuries associated with housing related hazards (e.g., burns, asthma). Describe the process for your referral of ill children for medical case management if this is not ongoing.
- The financing strategy, including eligibility requirements, terms, conditions, and amounts available, to be employed in conducting control activities. You must discuss the way funds will be administered (e.g., use of grants, deferred loans, forgivable loans, other resources, private sector financing, etc.) as well as the agency which will administer the process. Describe how your proposed project will further and support the policy priorities of the Department, including promoting Healthy Homes; providing opportunities for self-sufficiency, particularly for persons enrolled in welfare-to-work programs; or providing educational and job training opportunities.

A.2) Outreach and Community Involvement (5 points)

Describe proposed methods of community education. These should include community awareness, education, training, and outreach programs in support of your work plan and objectives. This should include general and/or targeted efforts undertaken to assist your efforts in reducing exposure to

housing-based hazards. To the extent possible, programs should be culturally sensitive, targeted, and linguistically appropriate.

Describe plans to involve neighborhood or community-based organizations in the proposed activities. These activities may include outreach, community education, marketing, inspection, and housing evaluations and interventions.

Describe proposed methods of community education. These should include community awareness, education, training, and outreach programs in support of your work plan and objectives. This should include general and/or targeted efforts undertaken to assist your efforts in reducing exposure to housing-based hazards.

**A.3) Technical Approach for Conducting Healthy Homes Initiatives
(15 points)**

- Describe your process for evaluating units of eligible housing in which you will undertake housing-based hazard interventions.
- Describe any specialized testing or visual inspection that you will conduct during unit inspection with reference to source(s) of the protocol(s). Describe qualifications and experience requirements for laboratories, which shall include, as applicable, successful participation in the Clinical Laboratory Program, National Lead Laboratory Accreditation Program, and/or National Voluntary Laboratory Accreditation Program.
- Describe the housing-based hazards interventions you will undertake. Provide an estimate of the per unit costs (and a basis for those estimates) for the type of interventions that are planned. Provide a schedule for initiating and conducting interventions in the selected units. Discuss efforts to incorporate cost-effective control methods to address multiple environmental health and safety hazards (e.g., deteriorating lead-based paint, damaged asbestos-containing materials, radon). Work should be conducted in accordance with the HUD Guidelines in units where lead hazards are identified.
- Describe your process for the development of work specifications for selected interventions. Describe your management processes to be used to ensure the cost-effectiveness of the housing interventions. Discuss your contracting process to obtain contractors to conduct interventions in selected units.

Describe your plan for the temporary relocation of occupants of units selected for intervention, and how you will determine the need for relocation. Address the use of safe houses and other housing arrangements, storage of household goods, stipends, incentives, etc.

B. ECONOMIC OPPORTUNITY (5 points)

Describe methods that will result in economic opportunities for residents and businesses in the community where activities will be carried out. Include information on how you will provide employment, business development, and contract opportunities. Describe how you or your partners will satisfy the requirements of Section 3 of the Housing and Community Development Act of 1992 to give preference to hiring low- and very low-income persons or contracting with businesses owned by or employing low- and very-low income persons.

C. PROGRAM EVALUATION AND RESEARCH (10 points)

Identify and discuss the specific methods you will use to measure progress, and evaluate the effectiveness of interventions. Describe how the information will be obtained, documented, and reported.

Provide a detailed description of your proposed applied research activities. Your research designs should be feasible and display thorough knowledge of relevant scientific literature. They should include an appropriate plan for managing, analyzing and archiving data. Also, quality assurance mechanisms must be well integrated into your research design to ensure the validity and quality of collected data

D. BUDGET (not scored) Your proposed budget will be evaluated for the extent to which it is reasonable, clearly justified, and consistent with the intended use of program funds. HUD is not required to approve or fund all proposed activities. You must thoroughly document and justify all budget categories and costs (Part B of Standard Form 424A) and all major tasks. Describe in detail your budgeted costs for each required program element(major task)included in your overall plan. The four required program elements are: administration; education and outreach; control of housing-based hazards(including sampling); and program evaluation and applied research .

Factor 4: LEVERAGING RESOURCES (10 points)

This factor addresses your ability to secure other community resources (such as financing, supplies or services) which can be combined with HUD's resources to achieve project purposes.

In evaluating this factor, HUD will consider the extent to which you have partnered with other entities to secure additional resources to increase the effectiveness of your proposed project. Resources may include funding or in-kind contributions (such as services or equipment) allocated to your proposed program. Resources may be provided by governmental entities, public or private organizations, or other entities willing to be your partner in this effort.

Each source of contributions must be supported by a letter of commitment from the contributing entity, whether a public or private source, which must describe the contributed resources that will be used in your program. Staff in-kind contributions should be given a market-based monetary value. If you fail to provide letters of commitment with specific details including the amount of the actual contributions, you will not get rating points for this factor. Each letter of commitment, memorandum of understanding, or agreement to participate shall include the organization's name and the proposed level of commitment and responsibilities as they relate to the proposed program. The commitment must be signed by an official legally able to make commitments on behalf of the organization.

Factor 5: COMPREHENSIVENESS AND COORDINATION (10 points)

This factor addresses the extent to which your program reflects a coordinated, community-based process of identifying needs and building a system to address the needs by using available HUD and other community resources. In evaluating this factor, HUD will consider:

- The degree of coordination of your proposed project with those of other groups or organizations to best support and coordinate all activities, and the specific steps you will take to share information on solutions and outcomes with others. Any written agreements or memoranda of understanding in place must be described.
- The extent to which you have developed linkages, or the specific steps you will take to develop linkages, to coordinate your activities so solutions are holistic and comprehensive. Linkages include linkages with other HUD, Federal, State or locally funded activities through meetings, information networks, planning processes, or other means.
- The degree of coordination with housing rehabilitation, housing and health codes, and other related housing programs.
- Describe your plan for integrating and coordinating housing-based hazards interventions with other housing-related activities (e.g., lead hazard control, rehabilitation, weatherization, removal of code violations, and other similar work).
- Describe your plans to incorporate housing-based hazards interventions with applicable housing codes and health regulations.
- Describe your plans to generate and use public subsidies or other resources (such as revolving loan funds) to finance future interventions to prevent and housing-based hazards, particularly in low- and very-low-income housing.

- Detail the extent to which you will ensure that the needs of minorities and persons with disabilities will be addressed adequately during your intervention activities; and that housing in which housing-based hazards have been addressed will still be available and affordable for low income minority and disabled individuals.

2.5 Application Forms

All of the forms that must be completed and submitted as part of an application package are provided in Annex 2 and the "Forms section" of this document. Please read the accompanying directions before completing each form. Annex 2 contains forms (indicated on the list below) that are specific to this program, as well as a checklist to help ensure that you have submitted all of the required items. Annex 3 provides examples of completed budget forms (Detailed Itemization of Budget and SF-424A). The forms that must be completed and submitted include the following:

Acknowledgment of Application Receipt

*Checklist and Submission Table of Contents

SF-424 (Application for Federal Assistance)

SF-424A (Budget Information/Non-Construction Programs)

Detailed Budget Summary

SF-424B (Assurances/Non-Construction Programs)

*Program Certifications

HUD 2880 (Disclosure and Update Report Form)

Certification for a Drug-Free Workplace

Certification of Payments to Influence Federal Transactions

Certification Regarding Debarment and Suspension

SF LLL (Disclosure of Lobbying Activities)

*Indicates program-specific forms provided in Annex 2

Acknowledgment of Application Receipt

U.S. Department of Housing
and Urban Development

Type or clearly print the Applicant's name and full address in the space below.

(fold line)

Type or clearly print the following information:

Name of the Federal
Program to which the
applicant is applying: _____

To Be Completed by HUD

☐

HUD received your application by the deadline and will consider it for funding. In accordance with Section 103 of the Department of Housing and Urban Development Reform Act of 1989, no information will be released by HUD regarding the relative standing of any applicant until funding announcements are made. However, you may be contacted by HUD after initial screening to permit you to correct certain application deficiencies.

☐

HUD did not receive your application by the deadline; therefore, your application will not receive further consideration. Your application is:

☐

Enclosed

☐

Being sent under separate cover

Processor's Name _____

Date of Receipt _____

Application for Federal Assistance

OMB Approval No. 0348-0043

		2. Date Submitted	Applicant Identifier
1. Type of Submission: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3. Date Received by State	State Application Identifier
		4. Date Received by Federal Agency	Federal Identifier
5. Applicant Information			
Legal Name		Organizational Unit	
Address (give city, county, State, and zip code): matters		Name, telephone number, and facsimile number of the person to be contacted on involving this application (give area codes)	
6. Employer Identification Number (EIN): <div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>		7. Type of Applicant: (enter appropriate letter in box) <div></div> <div>A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N Non-profit O Public Housing Agency P. Other (Specify):</div>	
8. Type of Application: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <div></div> <div></div> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify):		9. Name of Federal Agency:	
10. Catalog of Federal Domestic Assistance Number: <div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> Title:		11. Descriptive Title of Applicant's Project:	
12. Areas Affected by Project (cities, counties, States, etc.):			
13. Proposed Project:		14. Congressional Districts of:	
Start Date	Ending Date	a. Applicant	b. Project
15. Estimated Funding:		16. Is Application Subject to Review by State Executive Order 12372 Process?	
a. Federal	\$.00	a. Yes This preapplication/application was made available to the State Executive Order 12372 Process for review on: Date: _____	
b. Applicant	\$.00	b. No <input type="checkbox"/> Program is not covered by E.O. 12372	
c. State	\$.00	or <input type="checkbox"/> Program has not been selected by State for review.	
d. Local	\$.00	17. Is the Applicant Delinquent on Any Federal Debt?	
e. Other	\$.00	<input type="checkbox"/> Yes If "Yes," explain below or attach an explanation <input type="checkbox"/> No	
f. Program Income	\$.00		
g. Total	\$.00		
18. To the best of my knowledge and belief, all data in this application/preapplication are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.			
a. Typed Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item	Entry	Item	Entry
1. Self-explanatory.			description of this project.
2. Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).		12. List only the largest political entities affected (e.g., State, counties, cities).	
3. State use only (if applicable).		13. Self-explanatory.	
14. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.		14. List the applicant's Congressional District and any District(s) affected by the program or project.	
5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.		15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.	
6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.		16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process	
7. Enter the appropriate letter in the space provided.		17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.	
8. Check appropriate box and enter appropriate letter(s) in the space(s) provided: – "New" means a new assistance award. – "Continuation" means an extension for an additional funding budget period for a project with a projected completion date. – "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.		18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)	
9. Name of Federal agency from which assistance is being requested with this application.			
10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.			
11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary			

Budget Information — Non-Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$

Section B - Budget Categories					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. Totals (sum of 6i and 6j)					
7. Program Income	\$	\$	\$	\$	\$

Section C - Non-Federal Resources

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) Totals
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. Total (sum of lines 8 - 11)	\$	\$	\$	\$

Section D - Forcasted Cash Needs

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal					
15. Total (sum of lines 13 and 14)	\$	\$	\$	\$	\$

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project

(a) Grant Program	Future Funding Periods (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. Total (sum of lines 16-19)	\$	\$	\$	\$

Section F - Other Budget Information

21. Direct Charges	22. Indirect Charges
23. Remarks	

Instructions for the SF-424A

Public Reporting Burden for this collection of information is estimated to average 3.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the later case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a **single** Federal grant program (Federal Domestic Assistance Catalog number) and **not requiring** a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a **single** program **requiring** budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in **Column** (a) and the respective catalog number on each line in Column (b).

For applications pertaining to **multiple** programs where one or more programs **require** a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the totals for all columns used.

Section B. Budget Categories

In the column headings (a) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i—Show the totals of Lines 6a to 6h in each column.

Line 6j—Show the amount of indirect cost.

Line 6k—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a)—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b)—Enter the contribution to be made by the applicant.

Column (c)—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d)—Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e)—Enter totals of Columns (b), (c), and (d).

Line 12—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13—Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14—Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15—Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23—Provide any other explanations or comments deemed necessary.

Total Budget (Federal Share and Matching)

Name and Address of Applicant

Detailed Description of Budget

Category

1. Personnel (Direct Labor)	Estimated Hours	Rate per Hour	Estimated Cost	Federal Share	Match
Position or Individual					
Total Direct Labor Cost					
2. Fringe Benefits	Rate	Base	Estimated Cost	Federal Share	Match
Total Fringe Benefits Cost					
3. Travel					
3a. Transportation - Local Private Vehicle	Mileage	Rate per Mile	Estimated Cost	Federal Share	Match
Subtotal - Trans - Local Private Vehicle					
3b. Transportation - Airfare	Trips	Fare	Estimated Cost	Federal Share	Match
Subtotal - Transportation - Airfare					

Total Budget (Federal Share and Matching)

Detailed Description of Budget					
3c. Transportation - Other	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Subtotal - Transportation - Other					
3d. Per Diem or Subsistence	Days	Rate per Day	Estimated Cost	Federal Share	Match
Subtotal - Per Diem or Subsistence					
Total Travel Cost					
4. Equipment (Only items over \$5,000 each)	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Total Equipment Cost					
5. Supplies and Materials (Items under \$5,000)					
5a. Consumable Supplies	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Subtotal - Consumable Supplies					
5b. Non-Consumable Materials	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Subtotal - Non-Consumable Materials					
Total Supplies and Materials Cost					

Total Budget (Federal Share and Matching)

Detailed Description of Budget					
6. Consultants (Type)	Days	Rate per Day	Estimated Cost	Federal Share	Match
Total Consultants Cost					
7. Contracts and Sub-Grantees (List individually)			Estimated Cost	Federal Share	Match
Total Subcontracts Cost					
8. Other Direct Costs	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Item					
Total Other Direct Costs					
9. Indirect	Rate	Base	Estimated Cost	Federal Share	Match
Type					
Total Indirect Costs					
Total Estimated Costs					

Total of Federal Share and Match

Analysis of Total Estimated Costs	Estimated Cost	Percent of Total	Percent of Labor
1 Personnel (Direct Labor)			
2 Fringe Benefits			
4 Travel			
5 Equipment			
3 Supplies and Materials			
6 Consultants			
7 Contracts and Sub-Grantees			
8 Other Direct Costs			
9 Indirect Costs			
Total			
Federal Share			
Match			Expressed as a percentage of the Federal Share

Assurances—Non-Construction Programs

OMB Approval No. 0348-0040

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.O. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 36701 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (e) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of

project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the national Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Official

Title

Applicant Organization

Date Submitted

Applicant/Recipient Disclosure/Update Report

**U.S. Department of Housing
and Urban Development**
Office of Ethics

OMB Approval No. 2510-0011
& 2506-0167 (exp. 1/31/99)

Instructions. (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 4.)

Part I Applicant/Recipient Information

Indicate whether this is an Initial Report ☐

or an Update Report ☐

1. Applicant/Recipient Name, Address, and Phone (include area code)

Social Security Number or
Employer ID Number

2. Project Assisted/ to be Assisted (Project/Activity name and/or number and its location by Street address, City, and State)

3. Assistance Requested/Received

4. HUD Program

5. Amount Requested/Received
\$

Part II. Threshold Determinations -- Applicants Only

1. Are you requesting HUD assistance for a specific project or activity, as provided by 24 CFR Part 12, Subpart C, **and** have you received, or can you reasonably expect to receive, an aggregate amount of all forms of covered assistance from HUD, States, and units of general local government, in excess of \$200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted?

☐ Yes☐ No

If Yes, you must complete the remainder of this report.

If No, you must sign the certification below and answer the next question.

I hereby certify that this information is true. (Signature) _____ Date _____

2. Is this application for a specific housing project that involves other government assistance?

☐ Yes☐ No

If Yes, you must complete the remainder of this report.

If No, you must sign this certification.

I hereby certify that this information is true. (Signature) _____ Date _____

If your answers to both questions are No, you do not need to complete Parts III, IV, or V, but you must sign the certification at the end of the report.

Part III. Other Government Assistance Provided/Requested

Department/State/Local Agency Name and Address	Program	Type of Assistance	Amount Requested/Provided

Is there other government assistance that is reportable in this Part and in Part V, but that is reported only in Part V? ☐ Yes ☐ No

If there is no other government assistance, you must certify that this information is true.

I hereby certify that this information is true. (Signature) _____ Date _____

Part IV. Interested Parties

Alphabetical list of all persons with a reportable financial interest in the project or activity (for individuals, give the last name first)	Social Security Number or Employee ID Number	Type of Participation in Project/Activity	Financial Interest in Project/Activity (\$ and %)

If there are no persons with a reportable financial interest, you must certify that this information is true.
I hereby certify that this information is true. (Signature) _____ Date _____

Part V. Report on Expected Sources and Uses of Funds

Source

If there are no sources of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) _____ Date _____

Use

If there are no uses of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) _____ Date _____

Certification

Warning: If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosure of information, including intentional non-disclosure, is subject to civil money penalty not to exceed \$10,000 for each violation.

I certify that this information is true and complete.

Signature	Date
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Public reporting burden for this collection of information is estimated to average 2.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection information unless that collection displays a valid OMB control number.

Privacy Act Statement. Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is optional. The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §12.34.

Note: This form only covers assistance made available by the Department. States and units of general local government that carry out responsibilities under Sections 102(b) and (c) of the Reform Act must develop their own procedures for complying with the Act.

Instructions (See Note 1 on last page.)

I. Overview. Subpart C of 24 CFR Part 12 provides for (1) initial reports from applicants for HUD assistance and (2) update reports from recipients of HUD assistance. An overview of these requirements follows.

A. Applicant disclosure (initial) reports: General. All applicants for assistance from HUD for a specific project or activity must make a number of disclosures, if the applicant meets a dollar threshold for the receipt of covered assistance during the fiscal year in which the application is submitted. The applicant must also make the disclosures if it requests assistance from HUD for a specific housing project that involves assistance from other governmental sources. Applicants subject to Subpart C must make the following disclosures:

- Assistance from other government sources in connection with the project,
- The financial interests of persons in the project,
- The sources of funds to be made available for the project, and
- The uses to which the funds are to be put.

B. Update reports: General. All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial applicant disclosure reports.

C. Applicant disclosure reports: Specific guidance. The applicant must complete all parts of this disclosure form if **either** of the following **two** circumstances in paragraph 1. or 2., below, applies:

1.a. Nature of Assistance. The applicant submits an application for assistance for a specific project or activity (See Note 2) in which:

HUD makes assistance available to a recipient for a specific project or activity; or

HUD makes assistance available to an entity (other than a State or a unit of general local government), such as a public housing agency (PHA), for a specific project or activity, where the application is required by statute or regulation to be submitted to HUD for any purpose; **and**

b. Dollar Threshold. The applicant has received, or can reasonably expect to receive, an aggregate amount of all forms of assistance (See Note 3) from HUD, States, and units of general local government, in excess of \$200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted. (See Note 4)

2. The applicant submits an application for assistance for a specific housing project that involves other government assistance. (See Note 5) **Note:** There is no dollar threshold for this criterion: **any** other government assistance triggers the requirement. (See Note 6)

If the Application meets **neither** of these two criteria, the applicant need only complete Parts I and II of this report, as well as the certification at the end of the report. If the Application meets **either** of these criteria, the applicant must complete the entire report.

The applicant disclosure report must be submitted with the application for the assistance involved.

D. Update reports: Specific guidance. During the period in which an application for covered assistance is pending, or in which the assistance is being provided (as indicated in the relevant grant or other agreement), the applicant must make the following additional disclosures:

1. Any information that should have been disclosed in connection with the application, but that was omitted.
2. Any information that would have been subject to disclosure in connection with the application, but that arose at a later time, including information concerning an interested party that now meets the applicable disclosure threshold referred to in Part IV, below.
3. For changes in previously disclosed other government assistance:

For programs administered by the Assistant Secretary for Community Planning and Development, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed by \$250,000 or by 10 percent of the assistance (whichever is lower).

For all other programs, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed.

4. For changes in previously disclosed financial interests, any change in the amount of the financial interest of a person that exceeds the amount of the previously disclosed interests by \$50,000 or by 10 percent of such interests (whichever is lower).

5. For changes in previously disclosed sources or uses of funds:

a. For programs administered by the Assistant Secretary for Community Planning and Development:

Any change in a source of funds that exceeds the amount of all previously disclosed sources of funds by \$250,000 or by 10 percent of those sources (whichever is lower); and

Any change in a use of funds under paragraph (b)(1)(iii) that exceeds the amount of all previously disclosed uses of funds by \$250,000 or by 10 percent of those uses (whichever is lower).

b. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a source of funds that was previously disclosed.

For all other projects, any change in a source of funds that exceeds the lower of:

The amount previously disclosed for that source of funds by \$250,000, or by 10 percent of the amount previously disclosed for that source, whichever is lower; or

The amount previously disclosed for all sources of funds by \$250,000, or by 10 percent of the amount previously disclosed for all sources of funds, whichever is lower.

c. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a use of funds that was previously disclosed.

For all other projects, any change in a use of funds that exceeds the lower of:

The amount previously disclosed for that use of funds by \$250,000, or by 10 percent of the amount previously disclosed for that use, whichever is lower; or

The amount previously disclosed for all uses of funds by \$250,000, or by 10 percent of the amount previously disclosed for all uses of funds, whichever is lower.

Note: Update reports must be submitted within 30 days of the change requiring the update. The requirement to provide update reports only applies if the application for the underlying assistance was submitted on or after the effective date of Subpart C.

II. Line-by-Line Instructions.

A. Part I. Applicant/Recipient Information.

All applicants for HUD assistance specified in Section I.C.1.a., above, as well as all recipients required to submit an update report under Section I.D., above, must complete the information required by Part I. The applicant/recipient must indicate whether the disclosure is an initial or an update report. Line-by-line guidance for Part I follows:

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.

2. Applicants enter the name and full address of the project or activity for which the HUD assistance is sought. Recipients enter the name and full address of the HUD-assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., RFP No.; IFB No.; grant announcement No.; or contract, grant, or loan No.) Include prefixes.

3. Applicants describe the HUD assistance referred to in Section I.C.1.a. that is being requested. Recipients describe the HUD assistance to which the update report relates.

4. Applicants enter the HUD program name under which the assistance is being requested. Recipients enter the HUD program name under which the assistance, that relates to the update report, was provided.

5. Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. NOTE: In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.

Note: In the case of Mortgage Insurance under 24 CFR Subtitle B, Chapter II, the mortgagor is responsible for making the applicant disclosures, and the mortgagee is responsible for furnishing the mortgagor's disclosures to the Department. Update reports must be submitted directly to HUD by the mortgagor.

Note: In the case of the Project-Based Certificate program under 24 CFR Part 882, Subpart G, the owner is responsible for making the applicant disclosures, and the PHA is responsible for furnishing the owner's disclosures to HUD. Update reports must be submitted through the PHA by the owner.

B. Part II. Threshold Determinations — Applicants Only

Part II contains information to help the applicant determine whether the remainder of the form must be completed. **Recipients filing Update Reports should not complete this Part.**

1. The first question asks whether the applicant meets the Nature of Assistance and Dollar Threshold requirements set forth in Section I.C.1. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct, and to complete the next question.

2. The second question asks whether the application is for a specific housing project that involves other government assistance, as described in Section I.C.2. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct.

If the answer to both questions 1 and 2 is No, the applicant need not complete Parts III, IV, or V of the report, but must sign the certification at the end of the form.

C. Part III. Other Government Assistance.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports. Applicants must report any other government assistance involved in the project or activity for which assistance is sought. Recipients must report any other government assistance involved in the project or activity, to the extent required under Section I.D.1., 2., or 3., above.

Other government assistance is defined in note 5 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the HUD assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request.

The following information must be provided:

1. Enter the name and address, city, State, and zip code of the government agency making the assistance available. Include at least one organizational level below the agency name. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.
2. Enter the program name and any relevant identifying numbers, or other means of identification, for the other government assistance.
3. State the type of other government assistance (e.g., loan, grant, loan insurance).
4. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).

If the applicant has no other government assistance to disclose, it must certify that this assertion is correct.

To avoid duplication, if there is other government assistance under this Part and Part V, the applicant/recipient should check the appropriate box in this Part and list the information in Part V, clearly designating which sources are other government assistance.

D. Part IV. Interested Parties.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

Applicants must provide information on:

- (1) All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
- (2) any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Recipients must make the additional disclosures referred to in Section I.D.1., 2., or 4, above.

Note: A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses of all persons referred to in paragraph (1) or (2) of this Part. If the person is an entity, the listing must include the full name of each officer, director, and principal stockholder of the entity. All names must be listed alphabetically, and the names of individuals must be shown with their last names first.
2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.
3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).
4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

If the applicant has no persons with financial interests to disclose, it must certify that this assertion is correct.

5. Part V. Report on Sources and Uses of Funds. This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

The applicant disclosure report must specify all expected sources of funds — both from HUD and from any other source — that have been, or are to be, made available for the project or activity. Non-HUD sources of funds typically include (but are not limited to) other government assistance referred to in Part III, equity, and amounts from foundations and private contributions. The report must also specify all expected uses to which funds are to be put. All sources and uses of funds must be listed, if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the source or use will be forthcoming.

Note that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need not repeat the information, but need only refer to the form and location to incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.D.5., above.

General Instructions — sources of funds

Each reportable source of funds must indicate:

- a. The name and address, city, State, and zip code of the individual or entity making the assistance available. At least one organizational level below the agency name should be included. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.
- b. The program name and any relevant identifying numbers, or other means of identification, for the assistance.
- c. The type of assistance (e.g., loan, grant, loan insurance).

Specific instructions — sources of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each source of funds must indicate the total amount of approved, and received; and must be listed in descending order according to the amount indicated.

(2) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each source of funds must indicate the total amount of funds involved, and must be listed in descending order according to the amount indicated.

(3) If Tax Credits are involved, the report must indicate all syndication proceeds and equity involved.

General instructions—uses of funds.

Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as “total structure” to include a number of structural costs, such as roof, elevators, exterior masonry, etc.

Specific instructions -- uses of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each use of funds must indicate the total amount of funds involved; must be broken down by amount committed, budgeted, and planned; and must be listed in descending order according to the amount indicated.

(ii) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each use of funds must indicate the total amount of funds involved and must be listed in descending order according to the amount involved.

(iii) If any program administered by the Assistant Secretary for Housing-Federal Housing Commissioner is involved, the report must indicate all uses paid from HUD sources and other sources, including syndication proceeds. Uses paid should include the following amounts.

AMPO

Architect's fee — design

Architect's fee — supervision

Bond premium

Builder's general overhead

Builder's profit

Construction interest

Consultant fee

Contingency Reserve

Cost certification audit fee

FHA examination fee

FHA inspection fee

FHA MIP

Financing fee

FNMA / GNMA fee

General requirements

Insurance

Legal — construction

Legal — organization

Other fees

Purchase price

Supplemental management fund

Taxes

Title and recording

Operating deficit reserve

Resident initiative fund

Syndication expenses

Working capital reserve

Total land improvement

Total structures

Uses paid from syndication must include the following amounts:

Additional acquisition price and expenses

Bridge loan interest

Development fee

Operating deficit reserve

Resident initiative fund

Syndication expenses

Working capital reserve

Footnotes:

1. All citations are to 24 CFR Part 12, which was published in the Federal Register on March 14, 1991 at 56 Fed. Reg. 11032.
2. A list of the covered assistance programs can be found at 24 CFR §12.30, or in the rules or administrative instructions governing the program involved. Note: The list of covered programs will be updated periodically.
3. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Federal Acquisition Regulation (FAR) (48 CFR Chapter 1).
4. See 24 CFR §§12.32 (a)(2) and (3) for detailed guidance on how the threshold is calculated.
5. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
6. For further guidance on this criterion, and for a list of covered programs, see 24 CFR §12.50.
7. For purposes of Part 12, a person means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Program/Activity Receiving Federal Grant Funding

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. Sites for Work Performance. The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here ☐ if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.

(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Title

Signature

Date

X

Certification of Payments
to Influence Federal Transactions

U.S. Department of Housing
and Urban Development
Office of Public and Indian Housing

Applicant Name

Program/Activity Receiving Federal Grant Funding

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.
- This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.
Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Form with fields for Name of Authorized Official, Title, Signature, and Date.

X

Certification Regarding Debarment and Suspension

U.S. Department of Housing and Urban Development

Certification A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

1. The prospective primary participant certifies to the best of its knowledge and belief that its principals;

a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal debarment or agency;

b. Have not within a three-year period preceding this proposal, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;

c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (A)

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of these regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines this eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph (6) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

- 1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- 2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (B)

- 1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- 2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- 3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- 4. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of these regulations.

- 5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- 6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- 7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
- 8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- 9. Except for transactions authorized under paragraph (5) of these instructions, if a participant in a lower covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies including suspension and/or debarment.

Applicant		Date
Signature of Authorized Certifying Official	Title	

Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse side for Instructions.)

Public Reporting Burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

1. Type of Federal Action (enter appropriate letter) <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance		2. Status of Federal Action (enter appropriate letter) <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		3. Report Type (enter appropriate letter) <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only year _____ quarter _____ date of last report _____	
4. Name and Address of Reporting Entity <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known Congressional District , if known				5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime Congressional District , if known	
6. Federal Department/Agency				7. Federal Program Name/Description CFDA Number , if applicable	
8. Federal Action Number , if known				9. Award Amount , if known \$	
10a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI)				b. Individuals Performing Services (including address if different from No. 10a.) (last name, first name, MI)	
11. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.				Signature Print Name Title Telephone No. Date	
Federal Use Only				Authorized for Local Reproduction Standard Form-LLL (1/96)	

Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

SECTION 3
ADMINISTRATIVE PROVISIONS

SECTION 3. ADMINISTRATIVE PROVISIONS

A) Obligation of funds

All payments will be made as a grant, or cooperative agreement that is either fixed price or cost reimbursable, except that a one (1) percent final payment shall be withheld and made upon completion of all tasks and the delivery and acceptance of the final report by the Government Technical Representative.

B) Increases of awards

After executing the grant agreement and initial obligation of funds, HUD will not increase the grant sum or the total amount to be obligated based upon the original scope of work.

C) Deobligation

Reasons for deobligation. HUD may deobligate amounts for the grant if proposed activities are not initiated or completed within the required time period after the effective date of the award. The grant agreement will set forth in detail other circumstances under which funds may be deobligated and other sanctions imposed.

Treatment of deobligated funds. HUD may undertake either or both of the following actions:

Readvertise the availability of funds that have been deobligated under this section in a new NOFA; or

Choose additional applications which were submitted in response to this NOFA in accordance with the selection process described in Sections 4 of this NOFA.

D) Reports

The grantee shall submit the following types of reports:

Progress Reports. The grantee shall submit quarterly progress reports. These progress reports shall include expenditure reports and a narrative describing important events, milestones, work plan progress, and problems encountered during the period covered. Grantees will be provided the applicable forms and reporting instructions.

Final Report. The grantees shall submit a final report. The final report shall summarize the applicant's plans, execution of the plans, achievements noted, and lessons learned. The report need not be lengthy, but should be of a quality and detail to provide free-standing description to any outside reader of all of the applicant's work and achievement under the grant.

ANNEXES

Annex 1

Administrative Costs

Annex 1 - Administrative Costs

I. PURPOSE

The intent of this HUD grant program is to allow the Grantee to be reimbursed for the reasonable direct and indirect costs, subject to a top limit, for overall management of the grant. In most circumstances the Grantee, whether a state or a local government, is expected to serve principally as a conduit to pass funding to sub-grantees, which are to be responsible for performance of the lead-hazard reduction work. Congress set a top limit of ten (10) percent of the total grant sum for the Grantee to perform the function of overall management of the grant program, including passing on funding to sub-grantees. The cost of that function, for the purpose of this grant, is defined as the "administrative cost" of the grant, and is limited to ten (10) percent of the total grant amount. The balance of ninety (90) percent or more of the total grant sum is reserved for the sub-grantee/direct-performers of the lead-hazard reduction work.

II. ADMINISTRATIVE COSTS: WHAT THEY ARE NOT

For the purposes of this HUD grant program for States and local governments to provide support for the evaluation and reduction of housing-based hazards in low and moderate-income, private target housing: the term "administrative costs" should not be confused with the terms "general and administrative cost", "indirect costs", "overhead", and "burden rate". These are accounting terms, usually represented by a government-accepted standard percentage rate. The percentage rate allocates a fair share of an organization's costs that cannot be attributed to a particular project or department (such as the chief executive's salary or the costs of the organization's headquarters building) to all projects and operating departments (such as the Fire Department; the Police Department; the Community Development Department, the Health Department or this program). Such allocated costs are added to those projects' or departments' direct costs to determine their total costs to the organization.

III. ADMINISTRATIVE COSTS: WHAT THEY ARE

For the purposes of this HUD grant program, "Administrative Costs" are the Grantee's allowable direct costs for the overall management of the grant program plus the allocable indirect costs. The allowable limit of such costs that can be reimbursed under this program is ten (10) percent of the total grant sum. Should the Grantee's actual costs for overall management of the grant program exceed ten (10) percent of the total grant sum, those excess costs shall be paid for by the Grantee. However, excess costs paid for by the Grantee and may be shown as part of the requirement for cost-sharing funds to support the grant.

IV. ADMINISTRATIVE COSTS: DEFINITION

A. GENERAL

Administrative costs, are the allowable, reasonable, and allocable direct and indirect costs related to the overall management of the HUD grant for housing-based hazard reduction activities. Those costs shall be segregated in a separate cost center within the Grantee's accounting system, and they are eligible costs for reimbursement as part of the grant, subject to the ten (10) percent limit. Such administrative costs do not include any of the staff and overhead costs directly arising from specific sub-grantee program activities eligible under Section III(F) of this NOFA, because those costs are eligible for reimbursement under a separate cost center as a direct part of project activities.

The Grantee may elect to serve solely as a conduit to sub-grantees, who will in turn perform the direct program activities eligible under NOFA Section III(F), or the grantee may elect to perform all or a part of the direct program activities in other parts of its own organization, which shall have their own segregated, cost centers for those direct program activities. In either case, not more than 10 percent of the total HUD grant sum may be devoted to administrative costs, and not less than 90% of the total grant sum shall be devoted to direct program activities. Grantee shall take care not to mix or attribute administrative costs to the direct project cost centers.

B. SPECIFIC

Reasonable costs for the Grantee's overall grant management, coordination, monitoring, and evaluation are eligible administrative costs. Subject to the ten (10) percent limit, such costs include, but are not limited to, necessary expenditures for the following, goods, activities and services:

(1) Salaries, wages, and related costs of the Grantee's staff, the staff of affiliated public agencies, or other staff engaged in Grantee's overall grant management activities. In charging costs to this category the recipient may either include the entire salary, wages, and related costs allocable to the program for each person whose primary responsibilities (more than 65% of their time) with regard to the grant program involve direct overall grant management assignments, or the pro rata share of the salary, wages, and related costs of each person whose job includes any overall grant management assignments. The Grantee may use only one of these two methods during this program. Overall grant management includes the following types of activities:

- (a) Preparing grantee program budgets and schedules, and amendments thereto;
 - (b) Developing systems for the selection and award of funding to sub-grantees and other sub-recipients;
 - (c) Developing suitable agreements for use with sub-grantees and other sub-recipients to carry out grant activities;
 - (d) Developing systems for assuring compliance with program requirements;
 - (e) Monitoring sub-grantee and sub-recipient activities for progress and compliance with program requirements;
 - (f) Preparing presentations, reports, and other documents related to the program for submission to HUD;
 - (g) Evaluating program results against stated objectives;
 - (h) Providing local officials and citizens with information about the overall grant program; (However, a more general education program, helping the public understand the nature of housing-based hazards, hazard reduction, health screening, and the health consequences of exposure is a direct project support activity).
 - (i) Coordinating the resolution of overall grant audit and monitoring findings; and
 - (j) Managing or supervising persons whose responsibilities with regard to the program include such assignments as those described in paragraphs (a) through (i).
- (2) Travel costs incurred for official business in carrying out the overall grant management;
- (3) Administrative services performed under third party contracts or agreements, for services directly allocable to overall grant management such as overall-grant legal services, overall-grant accounting services, and overall-grant audit services;
- (4) Other costs for goods and services required for and directly related to the overall management of the grant program, including such goods and services as telephone, postage, rental of equipment, renter's insurance for the program management space, utilities, office supplies, and rental and maintenance (but not purchase) of office space for the program.
- (5) The fair and allocable share of Grantee's general costs that are not directly attributable to specific projects or operating departments such as: The Mayor's and City Council's salaries and related costs; the costs of the City's General Council's office, not charged off to particular projects or operating departments; and the costs of the City's Accounting Department not charged back to specific projects or operating departments. (If Grantee has an established burden rate it should be used; if not Grantee shall be assigned a negotiated provisional burden rate, subject to final audit.)

Annex 2

Program-Specific Forms

Checklist And Submission Table Of Contents

The following checklist is provided to ensure that you have submitted all of the required items in order for you to receive consideration for funding under this NOFA. Applicants must check off each item that they have included in their submission package and note the corresponding page number where the response is located. Applicants are to include this Checklist and Submission Table of Contents with the proposal.

Check Off Number

Page

- | | | |
|--------------------------|---------------------------------------|------------|
| <input type="checkbox"/> | Transmittal Letter | Cover page |
| <input type="checkbox"/> | Project Abstract (limited to 2 pages) | p. ____ |

Application Forms

- | | | |
|--------------------------|--|---------|
| <input type="checkbox"/> | Acknowledgment of Application Receipt | p. ____ |
| <input type="checkbox"/> | Standard Form 424 (Application for Federal Assistance) | p. ____ |
| <input type="checkbox"/> | Standard Form 424A (Budget Info./ Non-Construction Programs) | p. ____ |
| <input type="checkbox"/> | Detailed Budget Summary | p. ____ |
| <input type="checkbox"/> | Standard Form 424B (Assurances/ Non-Construction Programs) | p. ____ |
| <input type="checkbox"/> | Program Certifications | p. ____ |
| <input type="checkbox"/> | Disclosure and Update Report Form (HUD-2880) | p. ____ |
| <input type="checkbox"/> | Drug-Free Certification/ Place of Performance | p. ____ |
| <input type="checkbox"/> | Certification of Payments to Influence Federal Transactions | p. ____ |
| <input type="checkbox"/> | Certification Regarding Debarment and Suspension | p. ____ |
| <input type="checkbox"/> | Form SF-LLL Disclosure of Lobbying Activities Required | p. ____ |
| <input type="checkbox"/> | Form SF-LLL Not Required | |

Response to Rating Factors

(The narrative response to the Rating Factors cannot exceed a total of 30 pages.)

- | | | |
|--------------------------|---|---------|
| <input type="checkbox"/> | # 1. Capacity of the Applicant and Relevant Organizational Experience | p. ____ |
| <input type="checkbox"/> | # 2. Needs/Extent of the Problem | p. ____ |
| <input type="checkbox"/> | # 3. Soundness of Approach | p. ____ |
| <input type="checkbox"/> | # 4. Leveraging Resources | p. ____ |
| <input type="checkbox"/> | # 5. Comprehensiveness and Coordination | p. ____ |

Appendices

- | | | |
|--------------------------|-------|---------|
| <input type="checkbox"/> | _____ | p. ____ |
| <input type="checkbox"/> | _____ | p. ____ |
| <input type="checkbox"/> | _____ | p. ____ |

Program Certifications**Certification of No Outstanding Civil Rights Violations****Number Certification**

- C-1 There is no pending civil rights suit against the applicant agency instituted by the U.S. Department of Justice.
- C-2 There is no outstanding finding of noncompliance with civil rights statutes, Executive Orders, or regulations as a result of formal administrative proceedings, unless the applicant is operating under a HUD-approved compliance agreement designed to correct the area of noncompliance, or is currently negotiating such an agreement with the Department.
- C-3 There is no unresolved Secretarial charge of discrimination issued under Section 810(g) of the Fair Housing Act (implementing regulations at 24 CFR 103.400).
- C-4 There has been no adjudication of a civil rights violation in a civil action brought against the Agency by a private individual, unless the agency is operating in compliance with a court order designed to correct the area of noncompliance, or the applicant has discharged any responsibility arising from such litigation.
- C-5 There has been no deferral of the processing of applications from the applicant Agency imposed by HUD under Title VI of the Civil Rights Act of 1964, the Attorney General's Guidelines (28 CFR 50.3), or the HUD Title VI regulations (24 CFR 1.8) and procedures, or under Section 504 of the Rehabilitation Act of 1973 and the HUD Section 504 Regulations (24 CFR 8.57).

Administrative Certifications**Number Certification**

- A-1 Grantee will comply with environmental laws and authorities (24 CFR 50).
- A-2 Grantee will comply with the requirements of the Fair Housing Act (42 U.S.C. 3601-19); Executive Order 11063, Title VI of the Civil Rights Act of 1964 pertaining to equal opportunity and nondiscrimination in housing.
- A-3 Grantee will comply with Section 3 of the Housing and Urban Development Act of 1968 (implementing regulations at 24 CFR 135).
- A-4 Grantee will assure that the financial management system meets the standards for fund control and accountability (regulations at 24 CFR 85.20).

Healthy Homes Initiative Certifications**Number Certification**

- P-1 Healthy Homes Initiative intervention activities will be conducted safely and effectively by trained performers in

accordance with applicable Federal, State and local laws and regulations.

- P-2 All lead-based paint inspections, risk assessments and hazard control activities will be conducted by certified performers in accordance with the current HUD Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing.
- P-3 Laboratory analyses will be conducted by a laboratory accredited through the Clinical Laboratory Program, National Lead Laboratory Accreditation Program, and/or the National Voluntary Laboratory Accreditation Program.
- P-4 Healthy Homes Initiative control grant program funds will not replace existing resources dedicated to any ongoing project.

Signature of Authorized Certifying Official

Date

Typed or Printed Name of Authorized Certifying Official

Title

Annex 3

Sample Completed Forms

Total Budget (Federal Share and Matching)

Name and Address of Applicant

Detailed Description of Budget

Category					
1. Personnel (Direct Labor)	Estimated Hours	Rate per Hour	Estimated Cost	Federal Share	Match
Position or Individual					
Project Coordinator	2,200	\$24.73	\$54,406	\$54,406	\$0
Inspector/Risk Assessor	14,560	\$17.35	\$252,616	\$252,616	\$0
Field Coordinator	3,120	\$16.09	\$50,201	\$50,201	\$0
Housing specialist	1,248	\$15.56	\$19,419	\$19,419	\$0
Office Assistant	3,120	\$12.15	\$37,908	\$37,908	\$0
Outreach Workers	4,160	\$11.66	\$48,506	\$48,506	\$0
Environmental Technician	3,120	\$13.66	\$42,619	\$42,619	\$0
Environmental Engineer	208	\$28.34	\$5,894	\$0	\$5,894
Director of Community Development	624	\$39.00	\$24,336	\$0	\$24,336
Total Direct Labor Cost			\$535,905	\$505,675	\$30,230
2. Fringe Benefits	Rate	Base	Estimated Cost	Federal Share	Match
Fringe	34.00%	\$535,905	\$182,208	\$171,930	\$10,278
Total Fringe Benefits Cost			\$182,208	\$171,930	\$10,278
3. Travel					
3a. Transportation - Local Private Vehicle	Mileage	Rate per Mile	Estimated Cost	Federal Share	Match
Field Coordinator	7938	\$0.315	\$2,500	\$2,500	\$0
Inspector/RA	33075	\$0.315	\$10,419	\$10,419	\$0
Outreach Workers	9450	\$0.315	\$2,977	\$2,977	\$0
Subtotal - Trans - Local Private Vehicle			\$15,896	\$15,896	\$0
3b. Transportation - Airfare	Trips	Fare	Estimated Cost	Federal Share	Match
Travel to Washington	2	\$685.00	\$1,370	\$1,370	\$0
Travel for training	3	\$390.00	\$1,170	\$1,170	\$0
Travel to conferences	2	\$550.00	\$1,100	\$1,100	\$0
Subtotal - Transportation - Airfare			\$3,640	\$3,640	\$0

Total Budget (Federal Share and Matching)

Detailed Description of Budget					
3c. Transportation - Other	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
		\$0.00	\$0	\$0	\$0
Subtotal - Transportation - Other			\$0	\$0	\$0
3d. Per Diem or Subsistence	Days	Rate per Day	Estimated Cost	Federal Share	Match
Travel to Washington	6	\$180.00	\$1,080	\$1,080	\$0
Travel for training	12	\$135.00	\$1,620	\$1,620	\$0
Travel to conferences	9	\$155.00	\$1,395	\$1,395	\$0
Subtotal - Per Diem or Subsistence			\$4,095	\$4,095	\$0
Total Travel Cost			\$23,631	\$23,631	\$0
4. Equipment (Only items over \$5,000 each)	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
XRF Analyzer	1	\$16,000.00	\$16,000	\$16,000	\$0
Total Equipment Cost			\$16,000	\$16,000	\$0
5. Supplies and Materials (Items under \$5,000)					
5a. Consumable Supplies	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Blood test supplies	2200	\$1.10	\$2,420	\$2,420	\$0
Dust test supplies	33600	\$0.80	\$26,880	\$26,880	\$0
Office supplies (\$200/mo)	36	\$200.00	\$7,200	\$7,200	\$0
Educational Materials	1	\$2,000.00	\$2,000	\$2,000	\$0
Subtotal - Consumable Supplies			\$38,500	\$38,500	\$0
5b. Non-Consumable Materials	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Computers	3	\$2,000.00	\$6,000	\$6,000	\$0
XRF Sources	7	\$2,500.00	\$17,500	\$17,500	\$0
HEPA Vacuums	2	\$600.00	\$1,200	\$1,200	\$0
Software	3	\$350.00	\$1,050	\$1,050	\$0
Laser Printer	1	\$650.00	\$650	\$650	\$0
Subtotal - Non-Consumable Materials			\$26,400	\$26,400	\$0
Total Supplies and Materials Cost			\$64,900	\$64,900	\$0

Total Budget (Federal Share and Matching)

Detailed Description of Budget					
6. Consultants (Type)	Days	Rate per Day	Estimated Cost	Federal Share	Match
Statistician	100	\$250.00	\$25,000	\$0	\$25,000
Total Consultants Cost			\$25,000	\$0	\$25,000
7. Contracts and Sub-Grantees (List individually)			Estimated Cost	Federal Share	Match
Home Hazard Control			\$600,000	\$600,000	\$0
Save our City (CBO)			\$120,000	\$120,000	\$0
Jobs for the City (CBO)			\$75,000	\$75,000	\$0
Training for contractors and workers			\$35,000	\$35,000	\$0
Liability Insurance			\$12,000	\$12,000	\$0
Total Subcontracts Cost			\$842,000	\$842,000	\$0
8. Other Direct Costs	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Item					
Uniforms	9	\$75.00	\$675	\$675	\$0
Lab Accreditation	3	\$2,300.00	\$6,900	\$6,900	\$0
Computer Maintenance	11	\$225.00	\$2,475	\$2,475	\$0
Cellular Phones	10	\$600.00	\$6,000	\$6,000	\$0
Printing	1	\$8,000.00	\$8,000	\$8,000	\$0
Relocation	1	\$8,612.00	\$8,612	\$8,612	\$0
Training for LHC Staff	8	\$400.00	\$3,200	\$3,200	\$0
Printing	100000	\$0.05	\$5,000	\$5,000	\$0
Postage	2500	\$0.50	\$1,250	\$1,250	\$0
Hazard Abatement Training	3	\$2,000.00	\$6,000	\$6,000	\$0
Total Other Direct Costs			\$48,112	\$48,112	\$0
9. Indirect	Rate	Base	Estimated Cost	Federal Share	Match
Type					
Facilities charge	9.50%	\$718,113.00	\$68,221	\$0	\$68,221
Accounting and payroll services	1.00%	\$718,113.00	\$7,181	\$0	\$7,181
City administrative charge	6.00%	\$718,113.00	\$43,087	\$0	\$43,087
Total Indirect Costs			\$118,489	\$0	\$118,489
Total Estimated Costs			\$1,856,245	\$1,672,248	\$183,997
Total of Federal Share and Match				\$1,856,245	

Analysis of Total Estimated Costs	Estimated Cost	Percent of Total	Percent of Labor
1 Personnel (Direct Labor)	\$535,905	28.9%	34.0%
2 Fringe Benefits	\$182,208	9.8%	
4 Travel	\$23,631	1.3%	
5 Equipment	\$64,900	3.5%	
3 Supplies and Materials	\$16,000	0.9%	
6 Consultants	\$25,000	1.3%	
7 Contracts and Sub-Grantees	\$842,000	45.4%	
8 Other Direct Costs	\$48,112	2.6%	
9 Indirect Costs	\$118,489	6.4%	
Total	\$1,856,245	100.0%	
Federal Share	\$1,672,248	90.09%	Expressed as a percentage of the Federal Share
Match	\$183,997	11.00%	

Budget Information - Non-Construction Programs

Exhibit B

OMB Approval No. 0348-0044

Section A - Budget Summary

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.	Do	Not	Complete	This	Section	
4.						
5. Totals						

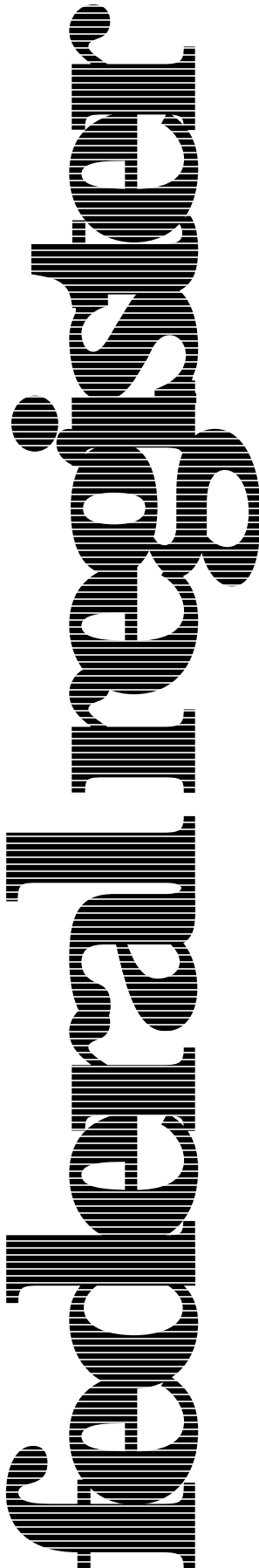
Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity				(5) Grand Total
	(1) HUD Request	(2) Match			
a. Personnel (Direct Labor)	\$505,675	\$30,230			\$535,905
b. Fringe Benefits	\$171,930	\$10,278	Do	Do	\$182,208
c. Travel	\$23,631	\$0	Not	Not	\$23,631
d. Equipment	\$16,000	\$0	Use	Use	\$16,000
e. Supplies and Materials	\$64,900	\$0	This	This	\$64,900
f. Consultants	\$0	\$25,000	Column	Column	\$25,000
g. Contracts and Sub-Grantees	\$842,000	\$0			\$842,000
h. Other Direct Costs	\$48,112	\$0			\$48,112
i. Total Direct Charges (sum of 6a-6h)	\$1,672,248	\$65,508			\$1,737,756
j. Indirect Costs	\$0	\$118,489			\$118,489
k. Totals (sum of 6i and 6j)	\$1,672,248	\$183,997			\$1,856,245
7. Program Income					

Annex 4

Notice of Funding Availability (NOFA)

Federal Register Notice



Friday
July 23, 1999

Part IX

**Department of
Housing and Urban
Development**

**Notice of Funding Availability for the
HUD Healthy Homes Initiative; Notice**

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**[Docket No. FR-4516-N-01]****Notice of Funding Availability for the HUD Healthy Homes Initiative**

AGENCY: Office of the Director of Lead Hazard Control, Office of the Secretary, HUD.

ACTION: Notice of Funding Availability (NOFA).

SUMMARY: *Purpose of the Program.* The purpose of the Healthy Homes Initiative is to demonstrate cost effective, preventive measures to correct multiple safety and health hazards in the home environment which produce serious diseases and injuries in children.

Available Funds. Approximately \$3.5 million.

Eligible Applicants. Research institutions, not-for-profit institutions, and for-profit firms located in the U.S., State and local governments, and Federally-recognized Indian Tribes. For-profit firms are not allowed to include a fee in the cost proposal (i.e., no profit can be made from the project). Federal agencies and federal employees are not eligible to apply for this program.

Application Deadline. September 23, 1999.

Match. None.

If you are interested in applying for funding under this initiative, please review the following additional information.

ADDITIONAL INFORMATION:**I. Application Due Date, Application Kits, Further Information, and Technical Assistance**

Application Due Date. Submit an original and four copies of your completed application on or before 12:00 midnight Eastern Time on September 23, 1999.

Address for Submitting Applications.

For Mailed Applications. The address for mailed applications is: Department of Housing and Urban Development, Office of Lead Hazard Control, 451 Seventh Street, SW, Room P3206, Washington, D.C. 20410.

For Overnight/Express Mail or Hand Carried Applications. The address for applications that are hand carried or sent via overnight delivery is: HUD Office of Lead Hazard Control, Suite 3206, 490 L'Enfant Plaza SW, Washington, D.C. 20024.

For Application Kits. You may obtain an application kit from the HUD Office of Lead Hazard Control at the address shown above. When requesting an application kit, please refer to "Healthy Homes Initiative NOFA." Please be sure

to provide your name, address (including zip code), and telephone number (including area code). Alternatively, you may obtain an application kit by downloading it from the internet at <http://www.hud.gov>.

For Further Information Contact. Ms. Ellen Taylor, Planning and Standards Division, Office of Lead Hazard Control, at the address above; telephone (202) 755-1785, extension 116, or Ms. Karen Williams, Grants Officer, extension 118 (these are not toll-free numbers). Hearing- and speech-impaired persons may access the above telephone numbers via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339.

II. Amount Allocated

Approximately \$3.5 million will be available to fund demonstration projects in FY 1999. Grants will be awarded on a competitive basis following evaluation of all proposals according to the Rating Factors described in section V(B). HUD anticipates that approximately 3 to 5 grants will be awarded, ranging from approximately \$250,000 to approximately \$2,500,000.

III. Program Description, Eligible Applicants, and Eligible Activities**(A) Program Description**

(1) *Background.* In the FY 1999 Budget, HUD proposed a Healthy Homes Initiative (sometimes referred to as the "Initiative" or "HHI") that would protect children from housing conditions responsible for multiple diseases and injuries. The Initiative departs from the more traditional approach of attempting to correct one hazard at a time (e.g., asbestos, radon).

The Healthy Homes Initiative builds upon HUD's existing housing-related health and safety issues, including lead hazard control, building structural safety, electrical safety, and fire protection to address multiple childhood diseases and injuries related to housing in a more coordinated fashion. A coordinated effort is feasible because a limited number of building deficiencies contribute to many hazards. Substantial savings are possible using this approach, because separate visits to a home by an inspector, public health nurse, or outreach worker if independently done can add significant cost to efforts to eliminate hazards.

In addition to deficiencies in basic housing facilities that may impact health, changes in the U.S. housing stock and more sophisticated epidemiological methods and biomedical research have led to the identification of new and often more

subtle health hazards in the residential environment. While such hazards will tend to be found disproportionately in housing that is substandard (e.g. structural problems, lack of adequate heat, etc.), such housing-related environmental hazards may also exist in housing that is otherwise of good quality. Appendix A briefly describes the housing-associated health and injury hazards HUD considers key targets for intervention. Appendix B lists the references that serve as the basis for the information provided in this NOFA.

(B) Healthy Homes Activities

HUD has identified four categories for grouping Healthy Homes activities. These are: (1) Excess moisture reduction, (2) dust control, (3) ventilation and control of toxins, and (4) education. These four activities are described in this section.

(1) Excess moisture reduction:

Moisture problems are evident in many homes, more so in older urban areas and communities with humid climates. While high moisture levels alone are not sufficient to necessarily result in health hazards, it is a common precursor. Moisture problems can lead to paint deterioration (lead poisoning), mold formation (pulmonary hemosiderosis in infants), higher concentrations of dust mites, cockroach infestation, asthma and allergen sensitization, and structural hazards associated with rot and rust (injuries). In a 1995 study of pulmonary hemosiderosis in Cleveland, Ohio, toxic molds were identified in 65% of homes within the target areas, compared to a national prevalence rate of 3%. The disease in infants associated with this exposure (infant pulmonary hemorrhage) had a 30% mortality rate. Nationally, this mold-related disease appears to have a low prevalence, but, for those children who contract this disease, a very high mortality rate. There is also evidence that certain molds can be important triggers of asthma in children, a disease which has seen a 160% increase in the past fifteen years in children under five. In addition, the presence of moisture problems is a risk factor for respiratory illnesses and symptoms, especially in children.

Structural problems can allow moisture intrusion, as well as create safety and fire hazards and provide access for rodent and insect pests. Structural defects can result from improper construction, poor maintenance, or natural hazards. Holes in floors are present in more than one million U.S. homes. Open cracks or holes in walls (four million homes) and broken plaster or peeling paint (three

million homes) are even more prevalent. Moisture problems require a variety of corrective interventions, ranging from simple patching to correction of basic drainage.

(2) *Dust Control.* Dust sources, sinks and traps can serve as a vehicle for a variety of hazardous agents, such as lead, allergens, and pesticide residues. Settled and airborne dust can become problems where surface conditions hinder cleaning, such as rough or porous surfaces. Dust is the principal pathway through which children are exposed to lead-based paint and mold and is also an exposure route for allergens, dust mites, and some pesticides. In young children, transmission occurs principally through normal hand-to-mouth contact. Some dust traps are relatively easily addressed, for example, the removal of carpets and sealing of floor surfaces. Dust remediation often consists of removal by using special vacuum systems, and the creation of smooth and cleanable surfaces, as well as controlling dust sources, such as sinks (e.g., draperies), sources such as paint and exterior bare soil, and unsafe work practices (uncontrolled renovation). New household vacuums with dust sensors are now available on the retail market and warrant study regarding their effectiveness in house dust control. Another key research need involves the sink and filtering action of carpets, that is, the way in which they attract, trap and release dust and other pollutants. Low-cost dust control methods are available and may cost as little as \$250 per unit.

(3) *Ventilation and control of toxins.* Ventilation can be either a problem or an intervention. Proper ventilation supplies adequate oxygen and removes carbon dioxide and other pollutants, such as allergens. Virtually no home ventilation system actively supplies clean fresh air; instead, infiltration through building "leakage" is the norm, although tighter building envelopes and better insulation typically reduce fresh air incursion. In some climates, increasing ventilation can result in increased moisture problems. Poorly-designed systems can contribute to dispersal of mold, soil gases (such as radon) and other contaminants into the living space. Carbon monoxide exposures can occur through combustion spillage caused by airflow reversal in chimneys or use of unvented heaters or appliances. Carbon monoxide alarms and airflow analysis that could detect dangerous air movements are rare in U.S. housing. Improperly-maintained or inadequately vented heating and cooking appliances may introduce

hazardous gases and particulate matter into the living environment and are also related to fire hazards. Building materials, cleaning products, and appliances can emit gases with irritant, allergic, or other toxic properties. Ozone generators, for example, are known to increase indoor ozone with no positive impact on air quality.

(4) *Education.* Education is an important part of most of the interventions that will be implemented. Occupants can be encouraged to use checklists, such as that provided in HUD's "Danger in the Home" brochure, to identify and correct hazards, and create a safer and healthier home environment. Occupant behavior can be modified using prompting tools that can be especially effective in preventing injuries or illnesses at low cost (\$100–\$200 per unit). For example, provision of a hot water thermometer (as a "prompting device") is known to result in reductions in scald injuries, because hot water heater temperatures are lowered and residents know to keep them lowered. Education and outreach efforts also need to be targeted to multiple audiences, such as residential construction contractors, health care deliverers and housing specialists.

(C) Baseline Assessment and Initiation of Projects

Through the Healthy Homes Initiative, HUD will initiate the baseline assessment of available risk reduction techniques and research on the control of key hazards described in Appendix A, and initiate projects to promote implementation of techniques demonstrated to be successful. Grantees will perform research and demonstrate and assess interventions addressing multiple housing-related problems affecting the health of children and develop and disseminate interventions appropriate to residential environments.

The main tasks to be addressed by these projects include the following:

- (1) Identification of homes where intervention would be appropriate.
- (2) Identification and evaluation of effective methods of hazard abatement and risk reduction.
- (3) Development of appropriately-scaled and efficient intervention strategies.
- (4) Selection of efficient strategies for evaluating intervention effectiveness.
- (5) Development of local capacity to operate sustainable programs to prevent and control toxic housing-based hazards, especially in low and very-low income residences.

HUD has decided to initiate the HHI projects primarily by issuing competitively awarded grants this fiscal

year. On February 26, 1999, HUD issued a Notice of Funds Availability targeted at mold and moisture control in inner city housing. That NOFA was published in the **Federal Register** as part of HUD's FY 1999 SuperNOFA (see 64 FR 9719–9724). The broader projects funded through this NOFA, published today, will allow HUD to assess whether and how well mold and moisture control can be integrated into other hazard control efforts. (This Notice, and the application kit, also appears on HUD's Web site, at www.hud.gov/lea.) HUD will evaluate proposals based on the elements described below. Awards are expected to be made by September, 1999.

(D) Project Elements

Project elements include:

(1) Pilot-testing and implementing housing assessment, maintenance, renovation and construction techniques to identify and correct housing-related illness and injury risk factors.

(2) Developing and delivering public education to prevent both emerging and well-recognized housing-related childhood diseases and injuries, and promote the use of identified solutions.

(3) Conducting research that evaluates the effectiveness of housing interventions and public education campaigns, and provides the knowledge base for recommending future use of the most cost-effective strategies.

(E) Goals and Objectives

The primary goal of this program is to protect children by supporting one or more demonstration projects employing cost-effective, replicable interventions to correct safety and health hazards in the home environment capable of producing serious diseases and injuries in children.

Objectives include the following:

(1) Developing a cost-effective protocol for identifying homes that are candidates for interventions, identifying hazards in these homes, and screening out homes where structural or other condition factors (e.g., cost accessibility) make interventions infeasible or impractical.

(2) Developing a flexible set of intervention strategies that take into account the range of conditions likely to be encountered in older housing, and the need to maximize the number of housing units that receive an intervention.

(3) Developing an efficient strategy for evaluating the effectiveness of interventions in preventing disease and injury in children.

(4) Building local capacity to develop a sustainable program that will continue

to prevent and, where they occur, minimize and control housing—based hazards in low- and very-low income residences when HUD funding is exhausted.

(5) Affirmatively furthering fair housing and environmental justice.

(6) Mobilizing public and private resources, involving cooperation among all levels of government, the private sector, and community-based organizations to develop the most promising, cost-effective methods for identifying and controlling housing-based hazards.

(7) Integrating safe work practices into housing maintenance, repair, and improvements.

(8) To the greatest extent feasible, promoting job training, employment, and other economic opportunities for low-income and minority residents and businesses which are owned by and/or employ low-income and minority residents as defined in 24 CFR 135.5.

(F) Eligible Activities

You will be afforded considerable latitude in designing and implementing the interventions to prevent or correct safety and health hazards in the home environment capable of producing serious diseases and injuries in children. However, in developing a strategy, you should use all reasonably available sources of information on controlling housing-based hazards in buildings and protecting workers and occupants during and after the intervention process. HUD is interested in promoting housing intervention approaches that result in the reduction of health threats for the maximum number of residents, and in particular low-income children, and that demonstrate replicable techniques which are cost-effective and efficient.

The following direct activities and support activities are eligible under this grant program.

(1) Direct Project Elements (activities conducted by you and any sub-recipients):

(a) Performing evaluations of eligible housing to determine the presence of housing-based hazards (e.g., mold growth, unvented appliances, exposed steam pipes or radiators, damaged lead-based paint) through the use of generally accepted testing procedures.

(b) Conducting medical examinations of young children for conditions caused or exacerbated by exposure to hazards where this is considered essential to your project, and there are no alternative sources to cover these costs.

(c) Conducting housing interventions to remediate existing housing-based hazards and address conditions that

could result in their recurrence. Any lead hazard evaluation and control work shall be conducted by certified performers in accordance with the HUD *Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing* ("Guidelines") and other applicable regulations.

(d) Carrying out temporary relocation of families and individuals during the period in which intervention is conducted and until the time the affected unit receives clearance for reoccupancy. Residents so relocated should be guaranteed the choice of returning to the unit after the intervention.

(e) Performing medical testing recommended by a physician or applicable occupational or public health agency for individuals in hazardous conditions and environmental sampling to protect the health of the intervention workers, supervisors, and contractors.

(f) Undertaking housing rehabilitation activities that are specifically required to carry out effective control of housing-based hazards, and without which the intervention could not be completed and maintained. Grant funds under this program may also be used to control immediate lead-based paint hazards.

(g) Conducting clearance testing and analysis for lead, mold, carbon monoxide and/or other toxins as appropriate, with respect to generally accepted standards or criteria, or where not available, other appropriate levels justified in conjunction with the project.

(h) Carrying out architectural, engineering and work specification development and other construction management services necessary to, and in direct support of, activities to control housing-based hazards and remediate existing hazards.

(i) Providing training on safe maintenance practices to homeowners, renters, painters, remodelers, and housing maintenance staff working in low- or very-low income housing.

(j) Providing cleaning supplies for hazard intervention and hazard control to community/neighborhood-based organizations for use by homeowners and tenants in low income housing, or to such homeowners, and tenants directly.

(k) Conducting general or targeted community awareness or education programs on environmental health and safety hazards. This activity would include training on safe maintenance and renovation practices, among other topics, and further fair housing and environmental justice goals. It would also include making materials available, upon request, in alternative formats for persons with disabilities (e.g., Braille,

audio, large type), and in languages other than English that are common in the community, whenever possible.

(l) Securing liability insurance for hazard intervention and hazard evaluation and control activities to be performed.

(m) Supporting data collection, analysis, and evaluation of project activities. This activity is separate from administrative costs.

(n) Conducting applied research activities directed at demonstration of cost-effective evaluation and intervention methods for preventing housing-based hazards.

(o) Presenting research findings at a scientific conference in each project year following the first year of activity.

(p) Maintaining a registry (updated at least monthly) of housing units in which housing-based hazards were not found during evaluation, and those in which such problems and hazards have been controlled. Units on the registry should be affirmatively marketed to families with young children and such families should be given preference for occupancy when they are vacant.

(q) Preparing quarterly progress reports, interim and final research reports, and an overall final grant report detailing activities, findings, conclusions and recommendations, at the conclusion of grant activities.

(2) Support Elements.

(a) Your administrative costs.

(b) Program planning and management costs of sub-grantees and other sub-recipients.

(G) Ineligible Activities

You cannot use program funds for the following:

(1) Purchase of real property.

(2) Purchase or lease of equipment having a per unit cost in excess of \$5,000, unless prior written approval is obtained from HUD.

(3) Medical treatment costs.

IV. Program Requirements

Applicants are subject to the following requirements:

(A) Threshold Requirements—Compliance with Fair Housing and Civil Rights Laws

With the exception of Federally recognized Indian tribes, all applicants and their subrecipients must comply with all Fair Housing and civil rights laws, statutes, regulations and executive orders as enumerated in 24 CFR 5.105(a). If you are a Federally recognized Indian tribe, you must comply with the Age Discrimination Act of 1975, section 504 of the Rehabilitation Act of 1973, and the Indian Civil Rights Act.

If you, the applicant—

(1) Have been charged with a systemic violation of the Fair Housing Act by the Secretary alleging ongoing discrimination;

(2) Are a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging an ongoing pattern or practice of discrimination; or

(3) Have received a letter of noncompliance findings under Title VI of the Civil Rights Act, section 504 of the Rehabilitation Act of 1973, or Section 109 of title I of the Housing and Community Development Act of 1974—

HUD will not rank and rate your application under this NOFA if the charge, lawsuit, or letter of findings has not been resolved to the satisfaction of the Department before the application deadline stated in the individual program NOFA. HUD's decision regarding whether a charge, lawsuit, or a letter of findings has been satisfactorily resolved will be based upon whether appropriate actions have been taken to address allegations of ongoing discrimination in the policies or practices involved in the charge, lawsuit, or letter of findings.

(B) Additional Nondiscrimination Requirements

You, the applicant, and your subrecipients, must comply with the Americans with Disabilities Act and Title IX of the Education Amendments Act of 1972.

(C) Other Requirements

(1) *Budgeting.* Administrative Costs. There is a 10% maximum for administrative costs. The application kit contains specific information on allowable administrative costs.

(2) *Period of Performance.* The period of performance cannot exceed 36 months.

(3) *Coastal Barrier Resources Act.* Pursuant to the Coastal Barrier Resources Act (16 U.S.C. 3501), funds may not be used for properties located in the Coastal Barrier Resources System.

(4) *Flood Disaster Protection Act.* Under the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001–4128), funds may not be used for construction, reconstruction, repair or improvement of a building or mobile home which is located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards unless:

(i) The community in which the area is situated is participating in the National Flood Insurance Program in accordance with the applicable regulations (44 CFR parts 59–79), or less than a year has passed since FEMA

notification regarding these hazards; and

(ii) Where the community is participating in the National Flood Insurance Program, flood insurance on the property is obtained in accordance with section 102(a) of the Flood Disaster Protection Act (42 U.S.C. 4012a(a)). You are responsible for assuring that flood insurance is obtained and maintained for the appropriate amount and term.

(5) *National Historic Preservation Act.* The National Historic Preservation Act of 1966 (16 U.S.C. 470) (NHPA) and the regulations at 36 CFR part 800 apply to the mold intervention and related hazard control activities that are undertaken pursuant to this program. HUD and the Advisory Council for Historic Preservation have developed an optional Model Agreement for use by grantees and State Historic Preservation Officers in carrying out any lead hazard control activities under this program.

(6) *Waste Disposal.* Waste disposal will be handled according to the requirements of the Occupational Health and Safety Administration (OSHA) (e.g., 29 CFR part 1910 and/or 1926, as applicable), the Environmental Protection Agency (EPA) (e.g., 40 CFR parts 61, 260–282, 300–374, and/or 700–799, as applicable), the Department of Transportation (e.g., 49 CFR parts 171–177), and/or appropriate State or local regulatory agency(ies). Disposal of wastes from intervention activities that contain lead-based paint but are not classified as hazardous will be handled in accordance with the HUD *Guidelines*.

(7) *Worker Protection Procedures.* You must comply with the requirements of OSHA (e.g., 29 CFR part 1910 and/or 1926, as applicable), or the State or local occupational safety and health regulations, whichever are most stringent.

(8) Written Policies and Procedures.

You must have written policies and procedures for all phases of intervention, including evaluation, development of specifications, financing, occupant relocation, independent project inspection, and clearance testing (e.g., for mold, lead, carbon monoxide or other hazards, as applicable). You and all your subcontractors, sub-recipients, and their contractors must comply with these policies and procedures.

(9) *Continued Availability of Safe Housing to Low-Income Families.* Units in which housing-based hazards have been controlled under this program shall be occupied by and/or continue to be available to low-income residents.

(10) *Affirmatively Furthering Fair Housing.* If you are a successful applicant, you will have a duty to

affirmatively further fair housing. You, the applicant, should include in your application or work plan the specific steps that you will take to:

(i) Address the elimination of impediments to fair housing that were identified in the jurisdiction's Analysis of Impediments (AI) to Fair Housing Choice;

(ii) Remedy discrimination in housing; or

(iii) Promote fair housing rights and fair housing choice.

(11) *Economic Opportunities for Low and Very Low-Income Persons (Section 3).* Recipients of assistance must comply with section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 1701u (Economic Opportunities for Low and Very Low-Income Persons in Connection with Assisted Projects) and the HUD regulations at 24 CFR part 135, including the reporting requirements of subpart E. Section 3 requires recipients to ensure that, to the greatest extent feasible, training, employment and other economic opportunities will be directed to (1) low and very low income persons, particularly those who are recipients of government assistance for housing, and (2) business concerns which provide economic opportunities to low and very low income persons.

(12) *Data collection and provision.* You must collect, maintain and provide to HUD the data necessary to document the various approaches used to evaluate and control housing-based hazards, including evaluation and control methods, building conditions, medical and familial information (with confidentiality of individually-identifiable information ensured) in order to determine the effectiveness and relative cost of these methods.

(13) *Certifications and Assurances.* Certification forms are included in the application kit. These forms include:

(i) An assurance in accordance with 24 CFR 50.3(h) that the applicant will carry out its responsibilities regarding HUD's environmental review.

(ii) A certification of compliance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, and the implementing regulations at 49 CFR part 24; and HUD Handbook 1378 (Tenant Assistance, Relocation and Real Property Acquisition).

(iii) An assurance that the applicant's financial management system meets the standards for fund control and accountability described in 24 CFR 85.20 and 84.21.

(iv) An assurance that any pre-intervention and clearance evaluation for lead, and lead hazard abatement will be conducted by certified performers.

(v) An assurance that project funds obtained through this NOFA will not replace existing resources dedicated to any ongoing project.

(vi) Assurance that human research subjects will be protected from research risks in conformance with the Common Rule (Federal Policy for the Protection of Human Subjects, codified by HUD at 24 CFR part 60).

(vii) Certification that the applicant will comply with the requirements of the Fair Housing Act, title VI of the Civil Rights Act of 1964, section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, and will affirmatively further fair housing. Federally recognized Indian tribes must certify that they will comply with the requirements of the Age Discrimination Act of 1975, section 504 of the Rehabilitation Act of 1973, and the Indian Civil Rights Act.

(14) *Davis-Bacon Act*. The Davis-Bacon Act does not apply to this program. However, if program funds are used in conjunction with other Federal programs in which Davis-Bacon prevailing wage rates apply, then Davis-Bacon provisions would apply to the extent required under the other Federal programs.

V. Application Selection Process

(A) Rating and Ranking

HUD intends to fund the highest ranked application(s) within the limits of funding. Once available funds have been allocated to meet the requested or negotiated amounts of the top eligible applicant(s), HUD reserves the right, in successive order, to offer any residual amount as partial funding to the next eligible applicant provided HUD, in its sole judgment, is satisfied that the residual amount is sufficient to support a viable, though reduced effort. In the event that HUD commits an error that, when corrected, would result in the selection of an otherwise eligible applicant, HUD may select that applicant when sufficient funds become available.

(1) *Negotiation*. After HUD has rated and ranked all applications and has made selections, HUD may require that all winners participate in negotiations to determine the specific terms of the grant agreement and budget. In cases where HUD cannot successfully conclude negotiations with a selected applicant or a selected applicant fails to provide HUD with requested information, an award will not be made to that applicant. In this instance, HUD may offer an award to the next highest ranking applicant, and proceed with

negotiations with the next highest ranking applicant.

(2) *Adjustments to Funding*. HUD reserves the right to fund less than the full amount requested in your application to ensure the fair distribution of the funds and to ensure that the purposes of a specific program are met. HUD may choose not to fund any portion of your application that is not eligible for funding under statutory or regulatory requirements, or which do not meet the requirements of this NOFA or which may duplicate other funded programs or activities.

(B) Factors for Award Used to Evaluate and Rate Applications

This section provides the factors for rating and ranking your application and the maximum points for each factor. The application kit provides additional instructions for responding to these factors. The maximum number of points to be awarded is 102.

(1) *Bonus Points*. This NOFA provides for the award of up to two bonus points for eligible activities/projects that the applicant proposes to be located in high performing federally designated Empowerment Zones (EZs) or Enterprise Communities (ECs). To be eligible to receive the two bonus points, you must certify that the proposed activities/projects: (a) Will be located in a Federally designated Empowerment Zone or Enterprise Community and will serve residents of the EZ/EC; and (b) are consistent with the strategic plan of the EZ/EC. If you provide this certification and HUD determines that the area is a high performing EZ/EC, you will be awarded the two points. A listing of the high performing federally designated EZs/ECs are available from the SuperNOFA Information Center, or through the HUD web site on the Internet at <http://www.HUD.gov>, as well as in the **Federal Register**.

(2) *Court-Ordered Consideration*. For any application submitted by the City of Dallas, Texas, for funds under this NOFA for which the City of Dallas is eligible to apply, HUD will consider the extent to which the strategies or plans in the city's application or applications will be used to eradicate the vestiges of racial segregation in the Dallas Housing Authority's low income housing programs. The City of Dallas should address the effect, if any, that vestiges of racial segregation in Dallas Housing Authority's low income housing programs have on potential participants in the programs covered by this NOFA, and identify proposed actions for remedying those vestiges. HUD may add up to 2 points to the score based on this consideration. This special consideration results from an order of

the U.S. District Court for the Northern District of Texas, Dallas, Division. (This Section V(B)(2) is limited to applications submitted by the City of Dallas.)

(3) *Five Rating Factors*. The five rating factors by which your application will be evaluated are as follows:

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 Points)

This factor addresses your organizational capacity necessary to successfully implement your proposed activities in a timely manner. The rating of you or your staff includes any community-based organizations, sub-contractors, consultants, sub-recipients, and members of consortia that are firmly committed to your project. In rating this factor HUD will consider:

(1) Your recent, relevant and successful demonstrated experience in undertaking eligible program activities. You must describe the knowledge and experience of the proposed overall project director and day-to-day program manager in planning and managing large and complex interdisciplinary programs, especially those involving housing rehabilitation, public health, or environmental programs. In your narrative response for this factor, you should include information on your program staff, their experience, commitment to the program, and position titles. Resumes of up to three (3) pages each and position descriptions for up to three personnel in addition to the project director and program manager, and a clearly delineated organizational chart for your project must be included as an appendix. Copies of job announcements (including salary range) should be included for any key positions that are currently vacant. Indicate the percentage of time that key personnel will devote to your project and any salary costs to be paid by funds from this program. Include descriptions of the experience and qualifications of subcontractors and consultants.

(2) Your previous experience in reducing or eliminating housing-based hazards (if any).

(3) Whether you have sufficient personnel or will be able to quickly retain qualified experts or professionals to begin your proposed program immediately and to perform your proposed activities in a timely and effective fashion. Describe how principal components of your agency will participate in or support your project. You should thoroughly describe capacity, as demonstrated by experience in initiating and implementing related

environmental, health, or housing projects.

Rating Factor 2: Need/Extent of the Problem (15 Points)

This factor addresses the extent to which there is a need for your proposed program activities to address documented problems in your target area(s).

(1) Document a critical level of need for your proposed activities in the area where activities will be carried out. You should pay specific attention to documenting need as it applies to your target area(s), rather than the larger geographic area.

(2) Your documentation of need should summarize available data linking housing-based hazards to disease or injuries to children in your target area(s). Examples of supporting data that might be used to demonstrate need, include:

(a) Economic and demographic data relevant to your target area(s), including poverty and unemployment rates;

(b) Rates of childhood illnesses or injuries (e.g., asthma, burns) that could be caused or exacerbated by exposure to conditions in the home environment, among children residing in your target area(s), and/or rates of environmentally-related disease or adverse health effects (e.g., hypertension, elevated blood lead levels) in your target area(s);

(c) Unavailability of other Federal, State or local funding or private sector resources that could be, or is used, to address the problem.

(3) For the areas targeted for your project activities, provide data available in your jurisdiction's currently approved Consolidated Plan (including the AI), or derived from 1990 Census Data, or derived from other sources (all data should be documented) that address:

(a) The age and condition of housing;

(b) The number and percentage of very-low and low income families with incomes less than 80% of the median income, as determined by HUD, for the area, with adjustments for smaller and larger families (See application kit for additional information.);

(c) The number and proportion of children under six years old.

(d) Describe how proposed activities would help HUD achieve its goals for this program area.

(e) There must be a direct relationship between the proposed activities, community needs, and the purpose of the program.

Rating Factor 3: Soundness of Approach (45 Points)

This factor addresses the quality and cost-effectiveness of your proposed

work plan. You should present information on the proposed approach for controlling housing-based hazards. The response to this factor should include the following elements:

(1) *Intervention Strategy* (30 points). Describe the strategy you will use in planning and executing the housing-based hazard interventions. You should provide information on:

(a) *Strategy for Implementing the Demonstration Project* (10 points). Describe your overall strategy for your proposed demonstration project. The description must include a discussion of:

(i) Your overall strategy for identifying, selecting, prioritizing, and enrolling units of eligible housing in which you will undertake housing-based hazards interventions, and then targeting such units to the low-income families with young children for the long run. Describe the extent to which your proposed activities will occur in an Empowerment Zone or Enterprise Community (EZ/EC), if applicable.

(ii) The estimated total number of owner occupied and/or rental units in which you will conduct interventions.

(iii) The degree to which your work plan focuses on housing units with young children, and how you propose to make treated units available to these households for the long run. Describe your planned approach to control housing-based hazards before children are affected; and/or to control these hazards in units where children have already been treated for illnesses or injuries associated with housing-based hazards (e.g., burns, lead poisoning, asthma). Describe the process for your referral of children for medical case management if this is not ongoing.

(iv) The financing strategy, including eligibility requirements, terms, conditions, and amounts available, to be employed in conducting housing-based hazards activities. You must discuss the way funds will be administered (e.g., use of grants, deferred loans, forgivable loans, other resources, private sector financing, etc.) as well as the agency which will administer the process. Describe how your proposed project will further and support the policy priorities of the Department, including providing opportunities for self-sufficiency, particularly for persons enrolled in welfare-to-work programs; or providing educational and job training opportunities.

(b) *Outreach and Community Involvement* (5 points). You must describe:

(i) Proposed methods of community education. These should include community awareness, education,

training, and outreach programs in support of your work plan and objectives. This should include general and/or targeted efforts undertaken to assist your efforts in reducing exposure to housing-based hazards. To the extent possible, programs should be culturally sensitive, targeted, and linguistically appropriate.

(ii) Proposed involvement of neighborhood or community-based organizations in the proposed activities. These activities may include outreach, community education, marketing, inspection, and housing evaluations and interventions.

(c) *Technical Approach for Conducting Housing-Based Hazards Interventions* (15 points)

(i) Describe your process for evaluating units of eligible housing in which you will undertake housing-based hazards interventions.

(ii) Describe any specialized testing or visual inspection that you will conduct during unit inspection with reference to source(s) of the protocol(s). Describe technical qualifications and requirements for laboratories. To be eligible for points under this factor, any laboratories you use must successfully participate in the Clinical Laboratory Program, National Lead Laboratory Accreditation Program, and/or National Voluntary Laboratory Accreditation Program, or other applicable quality assurance program, which you demonstrate to be substantially equivalent.

(iii) Describe the housing-based hazards interventions you will undertake. Provide an estimate of the per unit costs (and a basis for those estimates) for the type of interventions that are planned. Provide a schedule for initiating and conducting interventions in the selected units. Discuss efforts to incorporate cost-effective control methods to address multiple environmental health and safety hazards (e.g., deteriorating lead-based paint, damaged asbestos-containing materials, lack of smoke detectors). Work must be conducted in accordance with the HUD *Guidelines* in units where lead hazards are identified.

(iv) Describe your process for the development of work specifications for selected interventions. Describe your management processes to be used to ensure the cost-effectiveness of the housing interventions. Discuss your contracting process to obtain contractors to conduct interventions in selected units.

(v) Describe your plan for the temporary relocation of occupants of units selected for intervention, and how you will determine the need for

relocation. Address the use of safe houses and other housing arrangements, storage of household goods, stipends, incentives, etc.

(vi) Describe your plan for ensuring right of return and/or first referral for occupants of units selected for intervention who have had to move for intervention to occur.

(2) *Economic Opportunity* (5 points) Describe methods that will result in economic opportunities for residents and businesses in the community where activities will be carried out. Include information on how you will provide employment, business development, and contract opportunities. Describe how you or your partners will satisfy the requirements of Section 3 of the Housing and Community Development Act of 1992 to give preference to hiring low- and very low-income persons or contracting with businesses owned by or employing low- and very-low income persons.

(3) *Program Evaluation and Research* (10 points).

(a) Identify and discuss the specific methods you will use to measure progress, and evaluate the effectiveness of interventions. Describe how the information will be obtained, documented, and reported.

(b) Provide a detailed description of your proposed applied research activities. Your research designs should be feasible and display thorough knowledge of relevant scientific literature. They should include an appropriate plan for managing, analyzing and archiving data. Also, quality assurance mechanisms must be well integrated into your research design to ensure the validity and quality of collected data.

(4) *Budget* (Not Scored). Your proposed budget will be evaluated for the extent to which it is reasonable, clearly justified, and consistent with the intended use of program funds. HUD is not required to approve or fund all proposed activities. You must thoroughly document and justify all budget categories and costs (Part B of Standard Form 424A) and all major tasks. Describe in detail your budgeted costs for each required program element (major task) included in your overall plan. The four required program elements are: administration; education and outreach; control of housing-based hazard (including sampling); and program evaluation and applied research.

Rating Factor 4: Leveraging Resources (10 Points)

This factor addresses your ability to secure other community resources (such

as financing, supplies or services) which can be combined with HUD's resources to achieve project purposes.

(1) In evaluating this factor, HUD will consider the extent to which you have partnered with other entities to secure additional resources to increase the effectiveness of your proposed project. Describe how other organizations will participate in or support your project. Resources may include funding or in-kind contributions (such as services or equipment) allocated to your proposed program. Resources may be provided by governmental entities, public or private organizations, or other entities willing to be your partner in this effort.

(2) Each source of contributions must be supported by a letter of commitment from the contributing entity, whether a public or private source, which must describe the contributed resources that will be used in your program. Staff in-kind contributions should be given a market-based monetary value. If you fail to provide letters of commitment with specific details including the amount of the actual contributions, you will not get rating points for this factor. Each letter of commitment, memorandum of understanding, or agreement to participate shall include the organization's name and the proposed level of commitment and responsibilities as they relate to the proposed program. The commitment must be signed by an official legally able to make commitments on behalf of the organization.

Rating Factor 5: Comprehensiveness and Coordination (10 Points)

This factor addresses the extent to which your program reflects a coordinated, community-based process of identifying needs and building a system to address the needs by using available HUD and other community resources. In evaluating this factor, HUD will consider:

(1) The degree of coordination of your proposed project with those of other groups or organizations to best support and coordinate all activities, and the specific steps you will take to share information on solutions and outcomes with others. Any written agreements or memoranda of understanding in place must be described.

(2) The extent to which you have developed linkages, or the specific steps you will take to develop linkages, to coordinate your activities so solutions are holistic and comprehensive. Linkages include those with other HUD, Federal, State or locally funded activities through meetings, information networks, planning processes, or other means.

(3) The degree of coordination with housing rehabilitation, housing and health inspection, and other related housing programs.

(a) Describe your plan for integrating and coordinating housing-based hazards interventions with other housing-related activities (e.g., rehabilitation, weatherization, removal of code violations, and other similar work).

(b) Describe your plans to consolidate housing-based hazards interventions with applicable housing codes and health regulations.

(c) Describe your plans to generate and use public subsidies or other resources (such as revolving loan funds) to finance future interventions to prevent and control housing-based hazards, particularly in low- and very-low-income housing.

(d) Detail the extent to which you will ensure that the needs of minorities and persons with disabilities will be addressed adequately during your intervention activities; and that housing in which environmental hazards have been addressed will remain available and affordable in the long run for low income, minority, large families, and for persons with disabilities.

(4) If applicable, the application should demonstrate a knowledge of the target community's Consolidated Plan and/or Analysis of Impediments to Fair Housing Choice and detail the Consolidated Plan issue areas in which your organization participates. Describe the degree to which you have become actively involved (or if not currently active, the specific steps you will take to become active) in your community's Consolidated Planning process established to identify and address a need/problem that is related in whole or part, directly, or indirectly the activities you propose.

VI. Application Submission Requirements

(A) Applicant Information

You should submit your application in accordance with the format and instructions contained in this program section of this NOFA. The following is a checklist of required application contents:

(1) Transmittal letter that summarizes your proposed program, provides the dollar amount requested, and identifies you and your partners in the application.

(2) The name, mailing address, telephone number, and principal contact person. If you are a consortium of associates, sub-recipients, partners, major subcontractors, joint venture participants, or others contributing

resources to the project, similar information shall also be provided for each of these entities and you must specify the lead entity.

(3) Completed Forms HUD-2880, Applicant/Recipient Disclosure/Update Report; Certification Regarding Lobbying; and SF-LLL, Disclosure of Lobbying Activities, where applicable.

(4) Standard Forms SF-424, 424A, 424B, and other certifications and assurances listed in this program section. (see application kit).

(5) A narrative statement addressing the rating factors for award. The narrative statement must be numbered in accordance with each factor for award (Factor 1 through 5). The response to the rating factors must not exceed a total of 30 pages.

(6) Any attachments, appendices, references, or other relevant information may accompany the project description, but must not exceed twenty (20) pages for your entire application.

(7) A detailed budget with supporting cost justification for all budget categories of your funding request.

(8) The resumes and position descriptions of your project director and program manager and up to three additional key personnel.

VII. Corrections to Deficient Applications

After the application due date, HUD may not, consistent with its regulations in 24 CFR part 4, subpart B, consider any unsolicited information you, the applicant, may want to provide. HUD may contact you, however, to clarify an item in your application or to correct technical deficiencies. You should note, however, that HUD may not seek clarification of items or responses that improve the substantive quality of your response to any selection factors. In order not to unreasonably exclude applications from being rated and ranked, HUD may, however, contact applicants to ensure proper completion of the application and will do so on a uniform basis for all applicants. Examples of curable (correctable) technical deficiencies include your failure to submit the proper certifications or your failure to submit an application that contains an original signature by an authorized official. In each case, HUD will notify you in writing by describing the clarification or technical deficiency. HUD will notify applicants by facsimile or by return receipt requested. You must submit clarifications or corrections of technical deficiencies in accordance with the information provided by HUD within 14 calendar days of the date of receipt of the HUD notification. If your deficiency

is not corrected within this time period, HUD will reject your application as incomplete, and it will not be considered for funding.

VIII. Findings and Certifications

Paperwork Reduction Act Statement

The information collection requirements contained in this NOFA were submitted to the Office of Management and Budget for review and approval under the provisions of the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). The approval number when assigned will be announced by separate notice published in the **Federal Register**. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

Executive Order 12612, Federalism The General Counsel, as the Designated Official under section 6(a) of

Executive Order 12612, Federalism, has determined that the provisions of this NOFA do not have "federalism implications" within the meaning of the Order.

Accountability in the Provision of HUD Assistance

Section 102 of the Department of Housing and Urban Development Reform Act of 1989 (HUD Reform Act) and the final rule codified at 24 CFR part 4, subpart A, published on April 1, 1996 (61 FR 1448), contain a number of provisions that are designed to ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. On January 14, 1992, HUD published, at 57 FR 1942, a notice that also provides information on the implementation of section 102. The documentation, public access, and disclosure requirements of section 102 are applicable to assistance awarded under this NOFA as follows:

Documentation and public access requirements. HUD will ensure that documentation and other information regarding each application submitted pursuant to this NOFA are sufficient to indicate that basis upon which assistance was provided or denied. This material, including any letters of support, will be made available for public inspection for a five-year period beginning not less than 30 days after the award of the assistance. Material will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations at 24 CFR part 15. In addition, HUD will include the recipients of assistance pursuant to this

NOFA in its **Federal Register** notice of all recipients of HUD assistance awarded on a competitive basis.

Disclosures. HUD will make available to the public for five years all applicant disclosure reports (HUD Form 2880) submitted in connection with this NOFA. Update reports (also Form 2880) will be made available along with the applicant disclosure reports, but in no case for a period of less than three years. All reports—both applicant disclosures and updates—will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations at 24 CFR part 15.

Section 103 HUD Reform Act

HUD will comply with section 103 of the Department of Housing and Urban Development Reform Act of 1989 and HUD's implementing regulations in subpart B of 24 CFR part 4 with regard to the funding competition announced today. These requirements continue to apply until the announcement of the selection of successful applicants. HUD employees involved in the review of applications and in the making of funding decisions are limited by section 103 from providing advance information to any person (other than an authorized employee of HUD) concerning funding decisions, or from otherwise giving any applicant an unfair competitive advantage. Persons who apply for assistance in this competition should confine their inquiries to the subject areas permitted under section 103 and subpart B of 24 CFR part 4.

Applicants or employees who have ethics related questions should contact the HUD Office of Ethics (202) 708-3815. (This is not a toll-free number.) For HUD employees who have specific program questions, such as whether particular subject matter can be discussed with persons outside HUD, the employee should contact the appropriate Field Office Counsel.

Prohibition Against Lobbying Activities

Applicants for funding under this NOFA are subject to the provisions of section 319 of the Department of Interior and Related Agencies Appropriation Act for Fiscal Year 1991 (31 U.S.C. 1352) (the Byrd Amendment) and to the provisions of the Lobbying Disclosure Act of 1995 (Pub. L. 104-65; approved December 19, 1995).

The Byrd Amendment, which is implemented in regulations at 24 CFR part 87, prohibits applicants for Federal contracts and grants from using appropriated funds to attempt to influence Federal executive or legislative officers or employees in

connection with obtaining such assistance, or with its extension, continuation, renewal, amendment, or modification. The Byrd Amendment applies to the funds that are the subject of this NOFA. Therefore, applicants must file a certification stating that they have not made and will not make any prohibited payments and, if any payments or agreement to make payments of nonappropriated funds for these purposes have been made, a form SF-LLL disclosing such payments must be submitted. The certification and the SF-LLL are included as Attachment D of this NOFA.

The Lobbying Disclosure Act of 1995 (Pub. L. 104-65; approved December 19, 1995), which repealed section 112 of the HUD Reform Act, requires all persons and entities who lobby covered executive or legislative branch officials to register with the Secretary of the Senate and the Clerk of the House of Representatives and file reports concerning their lobbying activities.

IX. Environmental Requirements

Activities assisted under this program are subject to HUD environmental review to the extent required under 24 CFR part 50. An award under the Healthy Homes Initiative does not constitute approval of specific sites where activities may be carried out. Following award execution, HUD will perform environmental reviews for activities to be carried out on properties proposed by your organization. You may not rehabilitate, convert, repair or construct a property, or commit or expend program funds or non-HUD funds for these program activities for any eligible property, until you receive written notification from the appropriate HUD official that HUD has completed its environmental review and the property has been approved. The results of environmental reviews may require that proposed activities be modified or proposed sites rejected.

X. Authority

The authority for this program is the Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 1999, Pub. L. 105-276 (approved October 21, 1998), 112 Stat. 2461, 2482.

Dated: July 16, 1999.

David Jacobs,

Director of the Office of Lead Hazard Control.

Appendix A

The following briefly describes the housing-associated health and injury hazards HUD considers key targets for intervention:

Allergens and asthma: Experts estimate that 14 million Americans have asthma, with

an associated annual cost of \$14 billion. Asthma is now recognized as the leading cause of school and work absence, emergency room visits and hospitalization. For sensitized children, exposure to antigens from dust mites, certain pets, and cockroaches has been associated with more severe asthma. There is a preponderance of evidence showing a dose-response relationship between exposure and prevalence of asthma and allergies; some evidence also indicates that exposure to antigens early in life may predispose or hasten the onset of allergies and asthma. Dust mites have been identified as the largest trigger for asthma and allergies. Cockroach allergens appear to be excessive in 30-50% of inner-city housing and affect 5-15% of the population, whereas dust mite appears to be the dominant allergen in other environments. Interventions known to have beneficial effects include installation of impervious mattress and pillow covers, which can reduce allergen exposure by 90%. Other dust mite control measures include dehumidification, laundering bedding, and removal of carpets and other dust sinks. Cleaning carpets with tannic acid solution has also been demonstrated to greatly reduce dust mites. Asthma prevention program costs have been estimated at about \$500 per unit, which includes about \$150 for educational interventions.

Asbestos: Asbestos is a mineral fiber that has been used commonly in a variety of building construction materials and household products for insulation and as a fire-retardant. The Environmental Protection Agency (EPA) and the Consumer Product Safety Commission (CPSC) have banned most asbestos products. Manufacturers have also voluntarily limited uses of asbestos. Today, asbestos is most commonly found in older homes: in pipe and furnace insulation materials, asbestos shingles, millboard, textured paints and other coating materials, and floor tiles. Elevated concentrations of airborne asbestos can occur when asbestos-containing materials (ACM) are disturbed by cutting, sanding or other remodeling activities. Improper attempts to remove these materials can release asbestos fibers into the air in homes, increasing asbestos levels and endangering people living in those homes. The most dangerous asbestos fibers are too small to be visible. After they are inhaled, they can remain and accumulate in the lungs. Asbestos can cause lung cancer, mesothelioma (a cancer of the chest and abdominal linings), and asbestosis (irreversible lung scarring that can be fatal). Most people with asbestos-related diseases were exposed to elevated concentrations on the job; some developed disease from exposure to clothing and equipment brought home from job sites. As with radon, dose-response extrapolations suggest that lower level exposures, as may occur when asbestos-containing building materials deteriorate or are disturbed, may also cause cancer.

Intact asbestos-containing materials are not a hazard; they should be monitored for damage or deterioration and isolated if possible. Repair of damaged or deteriorating ACM usually involves either sealing (encapsulation) or covering (enclosure) it.

Repair is usually cheaper than removal, but it may make later removal of asbestos more difficult and costly. Repairs should be done only by a professional trained and certified to handle asbestos safely and can cost from a few hundred to a few thousand dollars; removal can be more expensive.

Combustion products of heating and cooking appliances: Burning of oil, natural gas, kerosene, and wood for heating or cooking purposes can release a variety of combustion products of health concern. Depending upon the fuel, these may include carbon monoxide (a chemical asphyxiant), oxides of nitrogen (respiratory irritants), polycyclic aromatic hydrocarbons (e.g., the carcinogen benzo[a]pyrene), and airborne particulate matter (respiratory irritants). Carbon monoxide, an odorless gas, can be fatal. Nitrogen dioxide can damage the respiratory tract, and sulfur dioxide can irritate the eyes, nose and respiratory tract. Smoke and other particulates irritate the eyes, nose and throat, and can cause lung cancer.

Improper venting and poor maintenance of heating systems and cooking appliances can dramatically increase exposure to combustion products. Experts recommend having combustion heating systems inspected by a trained professional every year to identify blocked openings to flues and chimneys; cracked or disconnected flue pipe; dirty filters; rust or cracks in the heat exchanger; soot or creosote build-up; and exhaust or gas odors. Installing a carbon monoxide detector is also recommended; however, such a detector will not detect other combustion by-products.

Insect and Rodent pests: The observed association between exposure to cockroach antigen and asthma severity has already been noted above. In addition, cockroaches may act as vehicles to contaminate and environmental surfaces with certain pathogenic organisms. Rodents can transmit a number of communicable diseases to humans, either through bites, arthropod vectors, or exposure to aerosolized excreta. In addition, humans can become sensitized to proteins in rodent, urine, dander and saliva. Such sensitization may contribute to asthma severity among children. Insect and rodent infestation is frequently associated with substandard housing that makes it difficult to eliminate. Treatment of rodent and insect infestations often includes the use of toxic pesticides which may present hazards to occupants (see below). Integrated pest management (IPM) for rodents and cockroaches, which reduces the use of pesticides, is estimated to cost approximately \$150 per unit. IPM control measures include sealing holes and cracks, removing food sources and use of traps.

Lead: Exposure to lead, especially from deteriorating lead-based paint, remains one of the most important and best-studied of the household environmental hazards to children. Although blood lead levels have fallen nationally, a large reservoir of lead remains in housing. The most recent national survey, conducted from 1991-94, showed that nearly one million U.S. preschoolers still have elevated blood lead levels. Overall, the prevalence rate among all children under six

years of age is 4.4%. Among low-income children living in older housing where lead-based paint is most prevalent, the rate climbs to 16%; and for African-American children living in such housing, it reaches 21%.

HUD estimates that 64 million dwellings have some lead-based paint, and that 20 million have lead-based paint hazards. Of those, about 3.6 million have young children and of those, about 500,000 units have inadequate cash flow to respond to lead-based paint hazards. Costs can range anywhere from \$500 to \$15,000 per unit. Corrective measures include paint stabilization, enclosure and removal of certain building components coated with lead paint, and cleanup and "clearance testing", which ensures the unit is safe for young children.

Mold and moisture: An analysis of several pulmonary disease studies estimates that 25% of airways disease, and 60% of interstitial lung disease may be associated with moisture in the home or work environment. Moisture is a precursor to the growth of mold and other biological agents, which is also associated with respiratory symptoms. An investigation of a cluster of pulmonary hemosiderosis (PH) cases in infants showed PH was associated with a history of recent water damage to homes and with levels of the mold *Stachybotrys atra* (SA) in air and in cultured surface samples. Associations between exposure to SA and "sick building" symptoms in adults have also been observed. Other related toxigenic fungi have been found in association with SA-associated illness and could play a role. For sensitive individuals, exposure to a wide variety of common molds may also aggravate asthma. Addressing mold problems in housing requires coordination among the medical, public health, microbiological, housing, and building science communities.

The cost of mold/moisture-related intervention work (e.g., integrated pest management, clean & tune furnace, remove debris, vent clothes dryer, cover dirt floor with impermeable vapor barrier) is a few hundred dollars, unless major modification of the ventilation system is needed. In Cleveland, mold interventions, including repairs to ventilation systems and basement flooring, in the most heavily-contaminated homes range from \$500—\$5,000, with some costs also being dedicated to lead hazard control simultaneously through its lead+asthma program.

Pesticide residues: According to the EPA, 75 percent of U.S. households used at least one pesticide product indoors during the past year. Products used most often are insecticides and disinfectants. Another study suggests 80 percent of most people's exposure to pesticides occurs indoors and that measurable levels of up to a dozen pesticides have been found in the air inside

homes. The amount of pesticides found in homes appears to be greater than can be explained by recent pesticide use in those households; other possible sources include contaminated soil or dust that migrates in from outside, stored pesticide containers, and household surfaces that collect and then release the pesticides. Pesticides used in and around the home include products to control insects (insecticides), termites (termiticides), rodents (rodenticides), molds and fungi (fungicides), and microbes (disinfectants). In 1990, the American Association of Poison Control Centers reported that some 79,000 children were involved in common household pesticide poisonings or exposures. In households with children under five years old, almost one-half stored at least one pesticide product within reach of children. Exposure to chlorpyrifos (CP), a commonly used organophosphate insecticide, in the prenatal and early postnatal period may impair neurodevelopment. While CP is a biodegradable pesticide, substantial persistence of CP in house dust has been demonstrated. Exposure to high levels of cyclodiene pesticides, commonly associated with misapplication, has produced various symptoms, including headaches, dizziness, muscle twitching, weakness, tingling sensations, and nausea. In addition, EPA is concerned that cyclodienes might cause long-term damage to the liver and the central nervous system, as well as an increased risk of cancer.

There are available data on hazard evaluation methods and remediation effectiveness regarding pesticide residues in the home environment.

Radon progeny: The National Academy of Sciences estimates that approximately 15,000 cases of lung cancer per year are related to radon exposure. Epidemiologic studies of miners exposed to high levels of radon in inhaled air have defined the dose response relation for radon-induced lung cancer at high exposure levels. Extrapolation of these data has been used to estimate the excess risk of lung cancer attributable to exposure to radon gas at the lower levels found in homes. These estimates indicate that radon gas is an important cause of lung cancer deaths in the U.S. Excessive exposures are typically related to home ventilation, structural integrity and location.

Radon measurement and remediation methods are well-developed, and the Environmental Protection Agency (EPA) recommends that every home be measured for radon. EPA estimates that materials and labor costs for radon reduction in an existing home are \$800—\$2500. Including radon resistant techniques in new home construction costs \$350—\$500, and can save up to \$65 annually in energy costs, according to the EPA.

Take home hazards from work/hobbies and work at home: When the clothing, hair, skin, or shoes of workers become contaminated with hazardous materials in the workplace, such contaminants may inadvertently be carried to the home environment and/or an automobile. Such "take-home" exposures have been demonstrated, for example, in homes of lead-exposed workers. In addition, certain hobbies or workplaces located in the home may provide an especially great risk of household contamination.

Control methods include storing and laundering work clothes separately, and showering and changing before leaving work, or immediately after arriving home. Once a home becomes contaminated, cleaning floors and contact surfaces and replacing furnishings may be necessary to reduce exposures.

Unintentional injuries/fire: Unintentional injury is now the leading cause of death and disability among children younger than 15 years of age. In 1997, nearly 7 million persons in the United States were disabled for at least 1 full day by unintentional injuries received at home. During the same year, 28,400 deaths were attributable to unintentional home injuries, of which 1800 occurred among children 0–4 years of age. Among young children, three types of events accounted for more than 3/4 of deaths: fires/burns, drownings, and mechanical suffocation. Falls and poisoning are the next most common.

Home visitation protocols have been shown to be effective in reducing exposure to such hazards. The "add-on" cost of injury prevention measures, when combined with other housing interventions are estimated at about \$100 per unit. This includes the cost of some injury prevention devices, such as smoke alarms, electrical socket covers, etc.

Appendix B

References

- Institute of Medicine. Indoor Allergens, Assessing and Controlling Adverse Health Effects, National Academy Press, Washington, D.C. 1993.
- Mott L., Our Children at Risk, Natural Resources Defense Council, Washington, D.C. 1997.
- Rom W.N. Ed. Environmental and Occupational Medicine, Little, Brown and Co., Boston, 1992.
- President's Task Force on Environmental Health Risks and Safety Risks to Children. Asthma and The Environment: An Action Plan to protect Children, Washington, D.C. 1999

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